



Missouri Department of Social Services
Division of Aging

**ELDER
ABUSE, NEGLECT AND EXPLOITATION**

Annual Report

Fiscal Year 1996

Research and Evaluation Unit
January 1997

Division of Aging

Elder

Abuse, Neglect and Exploitation

Annual Report

Fiscal Year 1996

Missouri Department of Social Services
221 West High Street
P.O. Box 1527
Jefferson City, Missouri 65102-1527

Department of Social Services Mission Statement

To maintain or improve the quality of life for the people of the state of Missouri by providing the best possible services to the public, with respect, responsiveness and accountability, which will enable individuals and families to better fulfill their potential.

Division of Aging Mission Statement

To promote, maintain, improve, and protect the quality of life and quality of care for Missouri's older adults and persons with disabilities so they may live as independently as possible with dignity and respect.



MEL CARNAHAN
GOVERNOR

MISSOURI
DEPARTMENT OF SOCIAL SERVICES
DIVISION OF AGING
P.O. BOX 1337
JEFFERSON CITY
65102-1337
TELEPHONE: 573-751-3082

RELAY MISSOURI
for hearing and speech impaired
TEXT TELEPHONE
1-800-735-2966
VOICE
1-800-735-2466

Dear Reader:

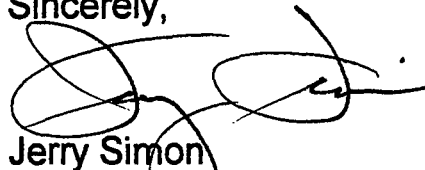
The Division of Aging is pleased to present the first *Elder Abuse, Neglect and Exploitation Annual Report*. Material in this report covers the activities during Fiscal Year 1996 (July 1, 1995 through June 30, 1996).

Information about Home and Community and Institutional Services programs is included in this report. We hope the data presented here will be useful to all who are interested in services provided by the Division of Aging to seniors, eligible adults between the ages of 18 and 59 who suffer from physical and mental impairments, and facility residents of Missouri in response to the problem of *elder abuse*.

Elder abuse is a widespread problem affecting hundreds of thousands of elderly people across the country. *Elder abuse* is, however, believed to be largely underreported because of shame and the shroud of family secrecy. With some experts estimating as few as 1 out of 14 elder abuse incidents (excluding the incidents of self-neglect) come to the attention of authorities, reports received by the aging hotline represent only a small portion of the problem.

Questions about the report should be directed to the Division of Aging at (573) 751-3082 or the Research and Evaluation Unit at (573) 751-3060.

Sincerely,



Jerry Simon
Acting Director

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INTRODUCTION

In October 1980, the Missouri Department of Social Services' Division of Aging (DA) established the Central Registry Unit (CRU) to screen and refer reports of abuse and neglect of eligible adults through the statewide hot line. The CRU currently handles calls regarding elder **abuse, neglect and financial exploitation** (A/N/E); regulation violations in facilities licensed by DA; Missouri Care Options (MCO) screening referrals; referrals to other agencies; and requests for information. The CRU received 57,415 calls during fiscal year 1996, a slight increase from the previous fiscal year. Compared to fiscal year 1992, the CRU handled 20,805 additional calls in 1996, representing a 57 percent increase in total intake activities.

REPORTS

The CRU accepts reports of abused, neglected and financially exploited elders and disabled adults who live in home and community settings or in long-term care facilities licensed by DA. In fiscal year 1996, 11,976 reports of home and community A/N/E reports accounted for 21 percent of total intake activities. Of those reports, 83 percent comprised A/N/E of the elderly and 17 percent were disabled adult A/N/E reports. While the total number of home and community A/N/E reports in fiscal year 1996 increased 16 percent from fiscal year 1992, they decreased for a second year since fiscal year 1994.

Intake Activities of the Central Registry Unit Hot Line

	<u>FY 1992</u>	<u>FY 1993</u>	<u>FY 1994</u>	<u>FY 1995</u>	<u>FY 1996</u>
HOME AND COMMUNITY					
A/N/E of the elderly, age 60 and older	8,690	9,877	10,677	10,154	9,916
A/N/E of disabled adults, age 18-59	<u>1,625</u>	<u>1,726</u>	<u>1,890</u>	<u>1,956</u>	<u>2,060</u>
Subtotal	10,315	11,603	12,567	12,110	11,976
INSTITUTIONAL					
A/N in long-term care facilities licensed by the Division of Aging	618	621	523	656	886
Regulation violations	<u>4,853</u>	<u>5,596</u>	<u>5,932</u>	<u>6,400</u>	<u>5,956</u>
Subtotal	5,471	6,217	6,455	7,056	6,842
OTHER					
Pre long-term care screening referrals	5,123	13,849*	16,381*	18,321*	19,603*
Statements of Concern	444	492	571	629	801
Other information and referral (I&R)	<u>15,257</u>	<u>18,049</u>	<u>19,326</u>	<u>18,560</u>	<u>18,193</u>
Subtotal	20,824	32,390	36,278	37,510	38,597
TOTAL	36,610	50,210	55,300	56,676	57,415

* Missouri Care Options (MCO), including pre-screening activities.

Institutional reports accounted for 6,842 calls or 12 percent of total intake reports in fiscal year 1996. The majority of reports, 87 percent, were **regulation violations**; 13 percent were allegations of abuse and neglect within a long-term care (LTC) facility. From fiscal years 1992 to 1996, the CRU received an additional 1,371 reports, representing a 25 percent increase.

Two-thirds of the CRU's intake activities involved **MCO referrals, information requests and referrals, and Statements of Concern**. Implemented in October 1992, MCO is a DA program that informs persons considering nursing facility care of their long-term care options. The goal of MCO is to offer options for the right care in the right setting at the right time, and at the best cost. The CRU acts as the clearinghouse for receipt of referrals for the program. In fiscal year 1996, the hot line received 19,603 MCO referral calls, a seven percent increase from fiscal year 1995.

In fiscal year 1996, the CRU received 801 Statements of Concern, which include additional information on existing reports and non-regulatory allegations towards long-term care facilities. Compared to fiscal year 1995, the CRU accepted 172 more Statements of Concern, representing a 27 percent increase. The increase is the result of a policy change regarding anonymous reports of Institutional A/N. Where there is a non-descriptive report of a Class II regulatory violation, the report is recorded as a Statement of Concern.

The second largest number of calls received by the CRU are information requests and referrals to other agencies (other I&R). Other I&R includes referrals to Area Agency on Aging (AAA) offices; Alzheimer's information and support group referrals; heat crisis, cooling center information; MCO screening repeats or information requests; Governor's Silver Club applications and information; Omnibus Budget Reconciliation Act (OBRA) pre-admission information requests; referrals to local DA offices; and referrals to other agencies. In fiscal year 1996, the CRU received 18,193 other I&R calls, a 19 percent increase compared to fiscal year 1992, but a two percent decrease from fiscal year 1995.

INVESTIGATIONS

Upon report of an incident of A/N/E or a regulation violation, the CRU logs the information and forwards it to DA field staff for investigation. After the investigation is complete, the investigator determines if A/N/E occurred or if the regulation violation was valid and decides upon any necessary corrective action. The investigative findings are sent back to the CRU for entry into the CRANE (Central Registry for Abuse, Neglect and Exploitation) database.

During fiscal year 1996, the CRU received results from 10,619 home and community investigations. Investigators found **Reason to Believe** A/N/E occurred in 5,919 or 56 percent of investigations. **Suspected** A/N/E comprised 2,298 or 22 percent of investigations. **Unsubstantiated** findings accounted for 2,402 or 23 percent of investigations. The proportion of Reason to Believe cases declined slightly each year since fiscal year 1992 while the percentage of Suspected and Unsubstantiated cases increased somewhat.

The CRU received results from 7,054 institutional investigations during fiscal year 1996. Investigators found 3,372 or 48 percent of investigations to be **Invalid**. Investigators determined 2,192 or 31 percent to be **Valid** and were **Unable to Verify** 1,490 or 21 percent of investigations. While the number of investigations increased steadily over the past five years, the percentage of investigative results remained fairly constant across Valid, Unable to Verify and Invalid findings.

Completed Investigative Findings of Elder Abuse, Neglect or Exploitation

	<u>FY 1992</u>	<u>FY 1993</u>	<u>FY 1994</u>	<u>FY 1995</u>	<u>FY 1996</u>
HOME AND COMMUNITY					
Reason to Believe	6,279	6,397	6,459	6,347	5,919
Suspected	1,632	1,891	2,225	2,375	2,298
Unsubstantiated	<u>1,705</u>	<u>1,839</u>	<u>2,123</u>	<u>2,297</u>	<u>2,402</u>
Total Investigations	9,616	10,127	10,807	11,019	10,619
INSTITUTIONAL					
Valid	1,699	1,738	1,970	1,987	2,192
Unable to Verify	1,262	1,205	1,468	1,491	1,490
Invalid	<u>2,317</u>	<u>2,396</u>	<u>2,923</u>	<u>3,144</u>	<u>3,372</u>
Total Investigations	5,278	5,339	6,361	6,622	7,054

This report synthesizes data collected by the CRU on reports and completed investigations of A/N/E of elderly and disabled adults. This report does not cover complaints handled by the Missouri Division of Aging Ombudsman Program. Please see the Appendix for information on the Ombudsman Program as well as the Division of Aging service regions and A/N/E by county.

Note: The number of reports will differ from the number of investigations in any given fiscal year. "Report" refers to an allegation of A/N/E or regulation violation during the fiscal year. "Investigation" refers to a completed review of the report *for which the findings were entered into the CRANE database*. For example, a report could have been made in June and also investigated in June, but findings may not have been entered into the database until July. Therefore, the report will be counted in one fiscal year and the investigation will be counted in the following fiscal year.

HOME AND COMMUNITY

INITIAL REPORTS

The CRU abuse and neglect hot line operates year-round, 24 hours a day and may be reached at **1 (800) 392-0210**. When a case of elder abuse or neglect is reported to the CRU, the intake social workers record:

- the name, address and telephone number of the victim,
- the name, address and telephone number of the person responsible for the victim,
- the nature and extent of the victim's condition and the nature of A/N/E,
- the name of the reporter (which is held confidential), and
- the identity of the perpetrator (if applicable).

This information is then forwarded to a DA county office for investigation. If the investigator discovers a crime occurred, the information may be referred to additional agencies for appropriate action.

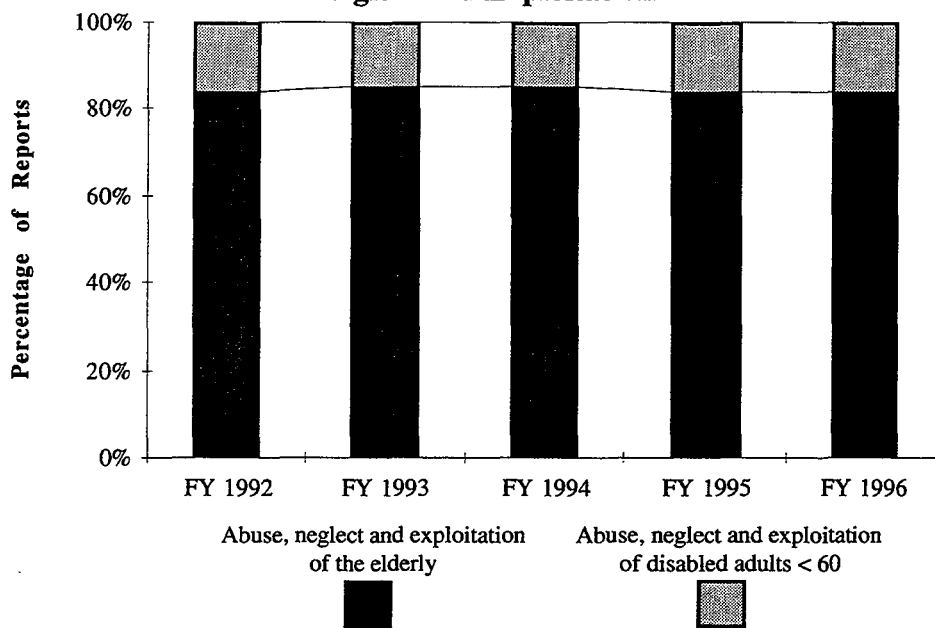
In fiscal year 1996, there were 11,976 reports of home and community A/N/E of adults aged 60 years or older and disabled persons aged 18 to 59 years. Reports of elderly A/N/E declined two percent to 9,916 and disabled A/N/E reports increased five percent to 2,060 during fiscal year 1996.

Reports of Home and Community Elder Abuse, Neglect and Exploitation

	<u>A/N/E of Elderly</u>	<u>Percentage Change</u>	<u>A/N/E of Disabled</u>	<u>Percentage Change</u>	<u>Total Reports</u>	<u>Percentage Change</u>
FY 1992	8,690	-	1,625	-	10,315	-
FY 1993	9,877	13.7	1,726	6.2	11,603	12.5
FY 1994	10,677	8.1	1,890	9.5	12,567	8.3
FY 1995	10,154	-4.9	1,956	3.5	12,110	-3.6
FY 1996	9,916	-2.3	2,060	5.3	11,976	-1.1

Since fiscal year 1992, the proportion of home and community A/N/E reports of persons aged 60 years or older remained around 85 percent of total reports, while the percentage of A/N/E of disabled persons remained around 15 percent of total reports.

Initial Reports of Home and Community Elder Abuse, Neglect and Exploitation



REPORTERS

Professionals who provide services to elderly and disabled adults in their homes are mandated by law to report to the Department of Social Services (DSS) if they have reasonable cause to believe a patient or client has been abused or neglected. Mandated reporters include health care professionals, in-home service providers, long-term care facility administrators and employees, law enforcement officials and employees of the Departments of Social Services, Health and Mental Health (see sections 565.180-565.190 RSMo and 660.300 RSMo for a complete description of mandated reporters).

In fiscal year 1996, health care professionals and hospital social service employees accounted for 3,114 or 26 percent of all reports of home and community A/N/E. Relatives of victims accounted for 1,883 or 16 percent and friends or neighbors accounted for 944 or eight percent of A/N/E reports. The alleged victims themselves were the reporters in 929 or eight percent of reports.

Reporters of Home and Community Elder Abuse, Neglect and Exploitation Fiscal Year 1996

<u>Reporter</u>	<u>Number of Reports</u>	<u>Percent</u>
Health Care Professional	1,632	13.6
Hospital Social Services Employee	1,482	12.4
Friend/Neighbor	944	7.9
Self	929	7.8
Anonymous	883	7.4
Child	850	7.1
In-Home Services Provider	734	6.1
Long-term Care Employee	577	4.8
Other Relative	559	4.7
Law Enforcement	442	3.7
Division of Aging Employee	386	3.2
Social Services Employee	381	3.2
Landlord	214	1.8
Sibling	212	1.8
Area Agency on Aging	193	1.6
Mental Health Professional	177	1.5
Physician/Dentist	156	1.3
Grandchild	150	1.3
Government Official	120	1.0
Spouse	112	0.9
Unknown	110	0.9
Other	<u>733</u>	<u>6.1</u>
Total	11,976	100.0

Note: Other includes clergy, legal counsel, housemates, guardians and ombudsmen.

REPORT CLASS AND INVESTIGATION TIME FRAMES

The report class determines the level of priority and the time frame in which the investigator must conduct a face-to-face investigation. Once the CRU receives a report of A/N/E, an investigator attempts to meet face-to-face with the victim within 24 hours if the report is of Class I severity and within seven days for reports of Class II severity. Class III reports are non-protective situations and do not always result in face-to-face contact.

In fiscal year 1996, 1,741 Class I reports accounted for 16 percent of home and community A/N/E reports, while 8,878 or 84 percent of reports were of Class II severity. Investigators met face-to-face in 1,603 or 92 percent of Class I reports within 24 hours. Investigators met face-to-face in 8,060 or 91 percent of Class II reports within seven days. Of both Class I and Class II reports, 5,006 or 47 percent were investigated within 24 hours, and 9,736 or 92 percent were investigated within seven days. Some reports may not have been investigated within the specified time frames because of not being able to locate the victims, the victims were uncooperative, had moved or were moved to a protective environment.

**Report Class and Investigation Time Frames of
Home and Community Elder Abuse, Neglect and Exploitation
Fiscal Year 1996**

<u>Investigation Time Frame</u>	<u>Class I</u>	<u>Percent</u>	<u>Class II</u>	<u>Percent</u>	<u>Total</u>	<u>Percent</u>
Within 24 hours	1,603	92.1	3,403	38.3	5,006	47.1
Within 48 hours	20	1.1	901	10.2	921	8.7
Within 7 days	53	3.0	3,756	42.3	3,809	35.9
Over 7 days	2	0.1	25	0.3	27	0.2
Other	<u>63</u>	<u>3.6</u>	<u>793</u>	<u>8.9</u>	<u>856</u>	<u>8.1</u>
Total	1,741	100.0	8,878	100.0	10,619	100.0

Note: Other is the result of unable to locate the victim, the victim moved, victim was not cooperative, the victim was transported to a protective environment, etc.

INVESTIGATIVE FINDINGS

In fiscal year 1996, investigative results for 10,619 reports were entered into the CRANE database. The findings of investigations are recorded according to the probability of A/N/E having occurred. Of these investigated reports, Reason to Believe findings accounted for 5,919 or 56 percent of all investigations. Investigators found Suspected A/N/E in 2,298 or 22 percent of investigations. The remaining 2,402 or 23 percent of investigations were Unsubstantiated.

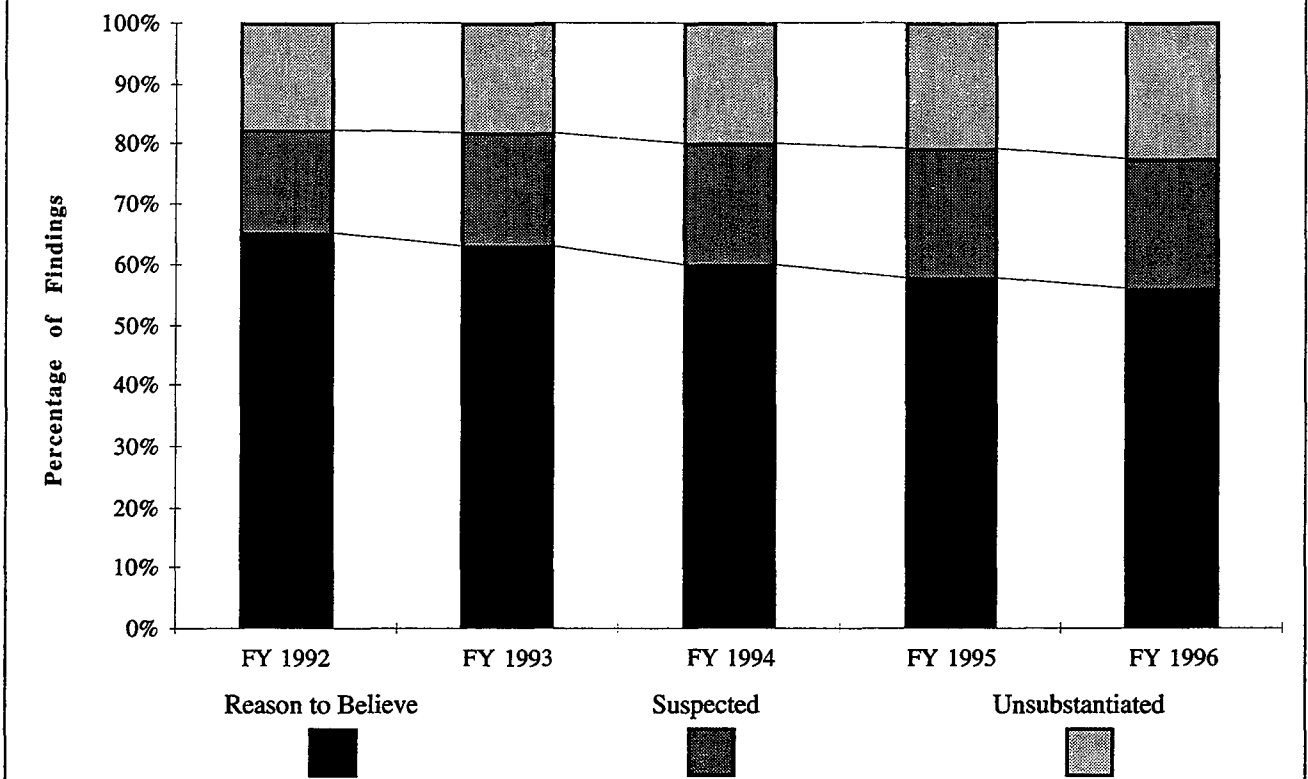
The proportion of Reason to Believe findings declined the past few years. However, proportions of Suspected and Unsubstantiated allegations increased during the same time. These changes may be attributed to increased staff training in properly identifying A/N/E, increased responsibility resulting from the passage of legislation fighting the crime of elder abuse (1992) and the addition of home and community perpetrator information in 1992 to the employee disqualification list (EDL). The EDL, which was created in 1983, is a collection of persons' names who have knowingly abused or neglected an in-home service client or facility resident. The purpose of the EDL is to act as a clearing-

house to assure that individuals who are found to have abused or neglected adults are not employed by another facility or an in-home service provider. Reason to Believe findings have decreased as DA investigators developed clearer and more convincing legally supported definitions.

Completed Investigative Findings of Home and Community Elder Abuse, Neglect and Exploitation

	Reason to Believe	Percentage Change	Suspected	Percentage Change	Unsubstantiated	Percentage Change	Total	Percentage Change
FY 1992	6,279	-	1,632	-	1,705	-	9,616	-
FY 1993	6,397	1.9	1,891	15.9	1,839	7.9	10,127	5.3
FY 1994	6,459	1.0	2,225	17.7	2,123	15.4	10,807	6.7
FY 1995	6,347	-1.7	2,375	6.7	2,297	8.2	11,019	2.0
FY 1996	5,919	-6.7	2,298	-3.2	2,402	4.6	10,619	-3.6

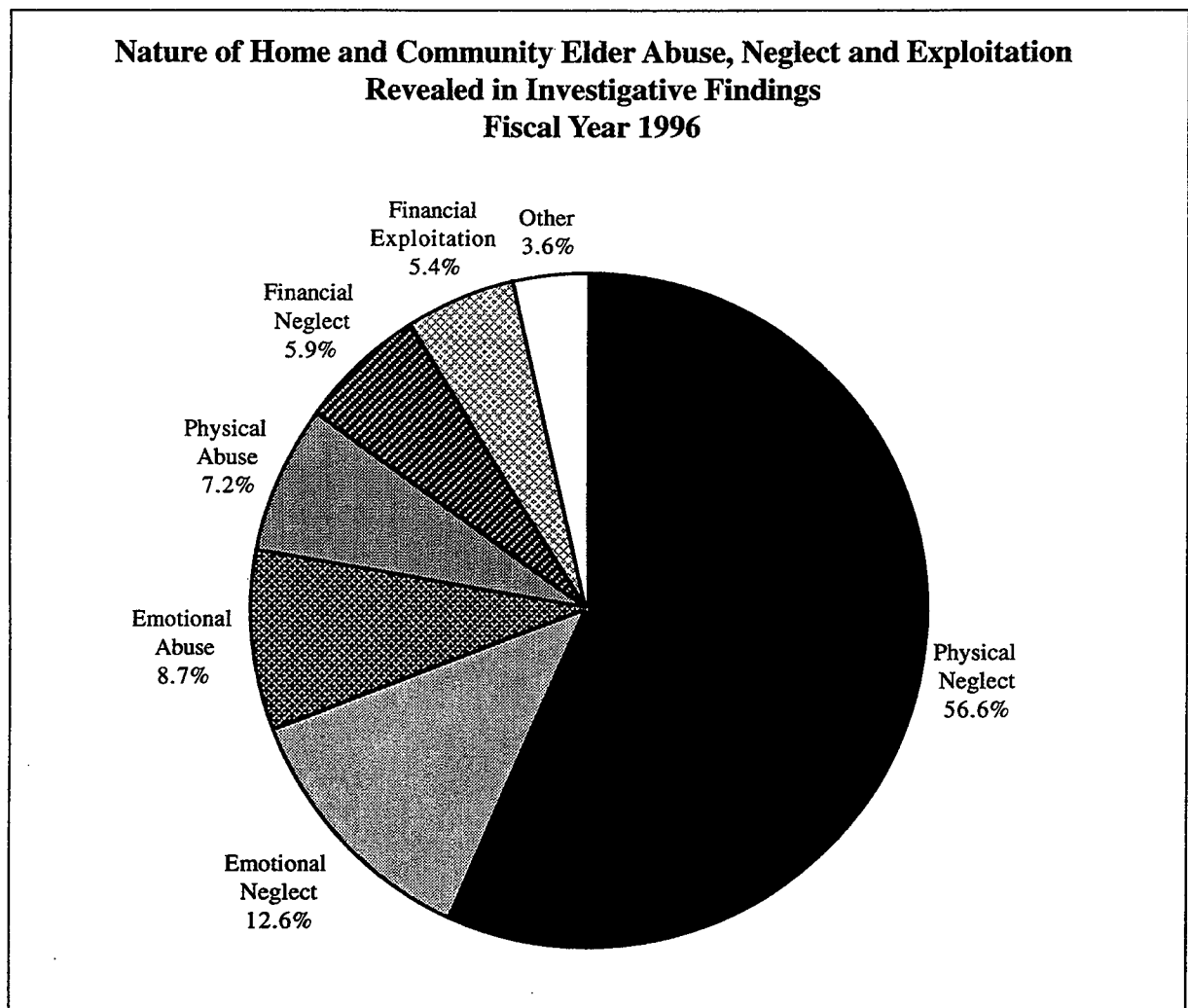
Completed Investigative Findings of Home and Community Elder Abuse, Neglect and Exploitation



INVESTIGATED CASES

Allegations of A/N/E ranged from beatings to medical neglect to verbal abuse to financial need. For each investigation, a victim may have been subjected to several types of A/N/E. On average, each victim was allegedly subjected to three different types of A/N/E as documented during the investigation. For analysis purposes, the types of A/N/E have been divided into seven categories (see table on page 11 for category definitions).

In fiscal year 1996, physical neglect was the nature of 57 percent of A/N/E investigations and physical abuse was the nature of seven percent. Findings were emotional in nature in 21 percent and financial in 11 percent of all investigations.



In fiscal year 1996, physical neglect was the reported nature of over half the incidents of A/N/E but was Unsubstantiated in 45 percent of investigations. Of the reported natures, emotional neglect was most frequently found as Reason to Believe. Financial exploitation was most frequently found to be Unsubstantiated upon investigation. The unsubstantiated findings of financial exploitation may be the result of the lack of legal definition and criminal statutes.

**Nature of Home and Community Elder Abuse, Neglect and Exploitation
Revealed in Investigative Findings
Fiscal Year 1996**

<u>Nature of A/N/E</u>	<u>Number of Incidents</u>	<u>Finding</u>		
		<u>Reason to Believe</u>	<u>Suspected</u>	<u>Unsubstantiated</u>
Physical Neglect	20,903	36.7%	18.8%	44.6%
Emotional Neglect	4,643	43.0	25.2	32.4
Emotional Abuse	3,200	30.7	27.7	41.6
Physical Abuse	2,649	33.9	19.0	47.0
Financial Neglect	2,192	37.5	21.1	41.4
Financial Exploitation	1,999	13.4	20.0	66.6
Other	502	34.5	13.0	52.6

Definitions:

Physical Abuse	= beatings, bruises/welts, cuts/burns, bone fractures, sexual abuse, locked in/out of home, evicted, substance abuse.
Physical Neglect	= self-care limitation, inadequate physical care, disregard for personal safety, isolation, inadequate utilities, poor nutrition, medical neglect, inadequate supervision, filth/vermin/squalor, placement needed, heavy care responsibility.
Emotional Abuse	= emotional/verbal abuse, harassment, family discord.
Emotional Neglect	= emotionally disturbed, behavior problems, confused, depressed, suicidal, stressed.
Financial Exploitation	= illegal or improper use of a person's property or resources to the degree that substantial risk or harm exists.
Financial Neglect	= financial management need, financially needy, legal need, guardian needed.

Note: The number of incidents is not directly related to the number of reported victims as victims may be subjected to multiple natures of A/N/E.
Percentages may not add to 100 because of rounding.

The majority of investigations where there was Reason to Believe or Suspected A/N/E were either opened for protective services or resolved, meaning a conclusive action or plan was identified following the investigation to resolve the issues or situation.

**Resolutions of Home and Community Elder Abuse, Neglect and Exploitation Investigations
Fiscal Year 1996**

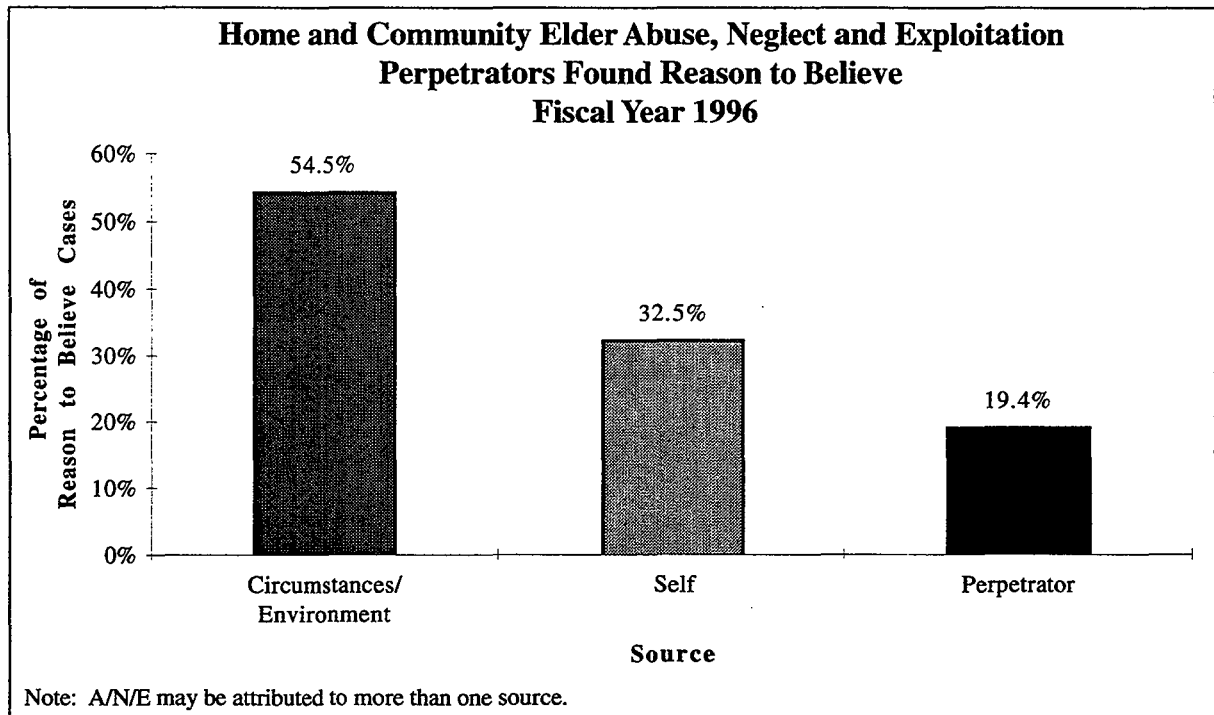
<u>Resolution</u>	<u>Reason to Believe</u>	<u>Percent</u>	<u>Suspected</u>	<u>Percent</u>
Opened for protective services	1,881	31.8	582	25.3
Resolved	1,204	20.3	503	21.9
Placed in long-term care	854	14.4	202	8.8
Substantiated, no protective services	756	12.8	305	13.3
Refused service	403	6.8	344	15.0
Referred to another agency	310	5.2	166	7.2
Client died	232	3.9	76	3.3
Client moved	109	1.8	35	1.5
Unable to locate client	32	0.5	32	1.4
Other	<u>138</u>	<u>2.3</u>	<u>53</u>	<u>2.3</u>
Total	5,919	100.0	2,298	100.0

Direct counseling, both for the victim and for their families, was the service most often provided as a result of the investigation. About 36 percent or 2,154 Reason to Believe victims, 29 percent or 676 Suspected victims and 27 percent or 652 Unsubstantiated victims were authorized for DA in-home services. On average, Reason to Believe victims received three services, while Suspected and Unsubstantiated victims were provided with two services each as a result of the investigation.

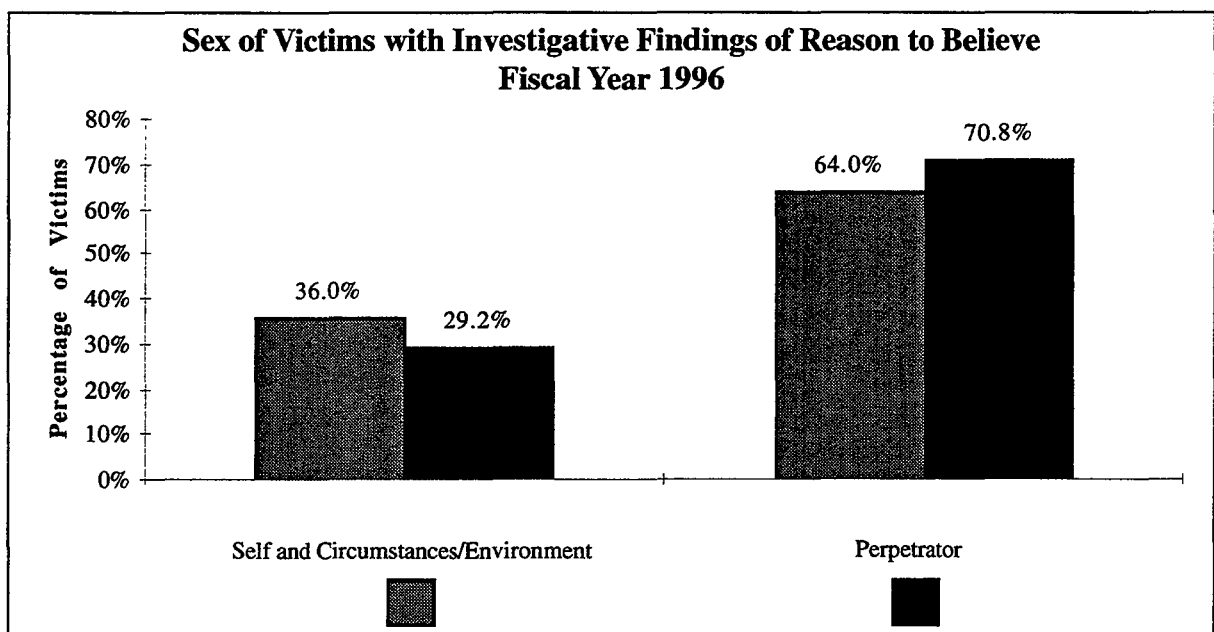
Services Provided to Home and Community Elder Abuse, Neglect and Exploitation Victims Fiscal Year 1996						
Service Provided	Reason to Believe		Suspected		Unsubstantiated	
	Number	Percent	Number	Percent	Number	Percent
<u>Counseling</u>						
Direct counseling - client	4,250	71.8	1,634	71.1	1,565	65.2
Direct counseling - family	3,424	57.8	1,191	51.8	1,042	43.3
Psychiatric/psychological evaluation	329	5.6	66	2.9	16	0.7
Non-agency counseling	171	2.9	40	1.7	16	0.7
<u>In-Home Services</u>						
DA in-home services	2,154	36.4	676	29.4	652	27.2
Home delivered meals	388	6.6	112	4.9	77	3.2
Home health	443	7.5	108	4.7	84	3.5
Scheduling doctor appointments	279	4.7	51	2.2	36	1.5
Energy assistance	112	1.9	12	0.5	11	0.5
Prescription medicine delivery	52	0.9	18	0.8	4	0.2
<u>Placement</u>						
Placement in long-term care facility	1,040	17.6	192	8.4	96	4.0
Adequate housing	291	4.9	46	2.0	37	1.5
Involuntary detention	119	2.0	12	0.5	2	0.1
Voluntary placement in mental health facility	119	2.0	19	0.8	7	0.3
Alcohol and/or drug program placement	69	1.2	9	0.4	4	0.2
<u>Legal/Financial</u>						
Involvement of law enforcement	564	9.5	113	4.9	78	3.2
Guardian needed	291	4.9	42	1.8	17	0.7
Financial management	284	4.8	65	2.8	40	1.7
Legal aid	167	2.8	50	2.2	33	1.4
Conservator	170	2.9	30	1.3	13	0.5
Assignment of power of attorney	73	1.2	20	0.9	12	0.5
<u>Emergency Assistance</u>						
Emergency medical care	260	4.4	32	1.4	15	0.6
Emergency shelter	179	3.0	33	1.4	13	0.5
Emergency food	129	2.2	20	0.9	10	0.4
Ambulance	143	2.4	10	0.4	4	0.2
Emergency financial assistance	98	1.7	11	0.5	3	0.1
Emergency clothing	13	0.2	1	<0.1	1	<0.1
<u>Other</u>						
Non-emergency transportation	159	2.7	22	1.0	18	0.7
New social outlets	93	1.6	27	1.2	13	0.5
Other	361	6.1	108	4.7	67	2.8
No services needed	106	1.8	77	3.3	247	10.3
Note: More than one service may be provided after an investigation. Percent is the percent of investigations (5,919 Reason to Believe investigations, 2,298 Suspected investigations, and 2,402 Unsubstantiated investigations).						

VICTIM DEMOGRAPHICS

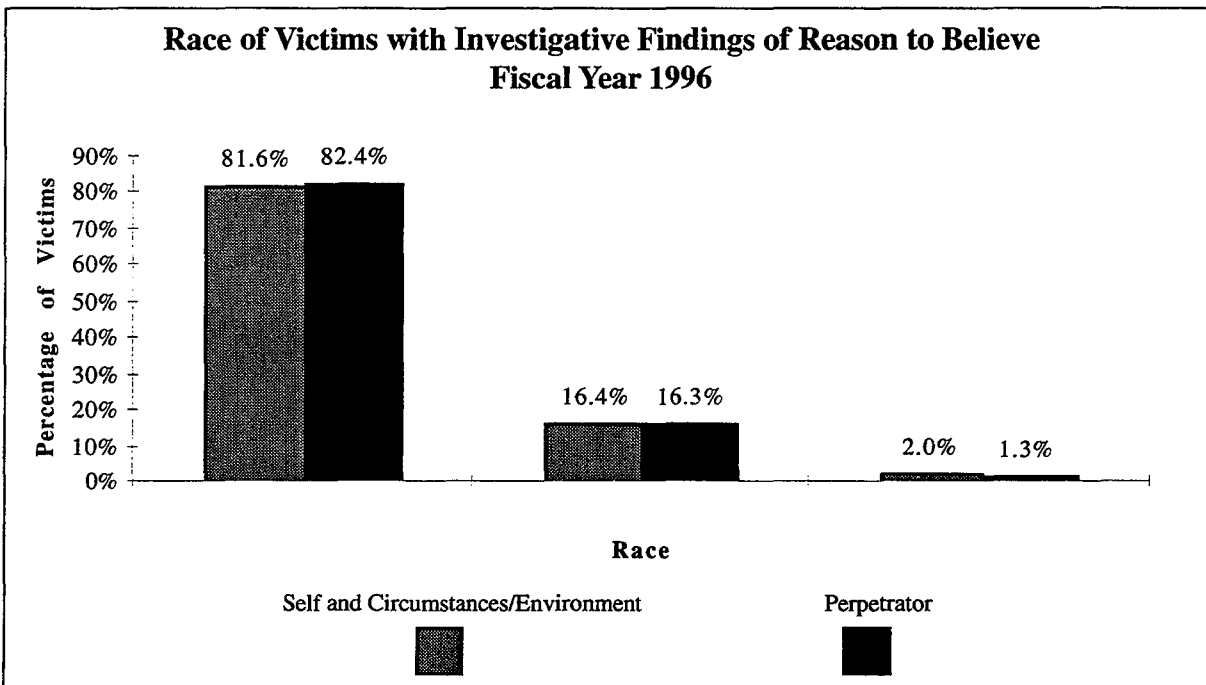
In fiscal year 1996, 3,164 or 54.5 percent of Reason to Believe cases were found to be the result of circumstances or environment. In 1,886 or 32.5 percent of the cases, self abuse or neglect was cited as the source of A/N/E, and in 1,128 or 19 percent of cases another person was identified as the perpetrator. A/N/E may be attributed to more than one source in an investigated case.



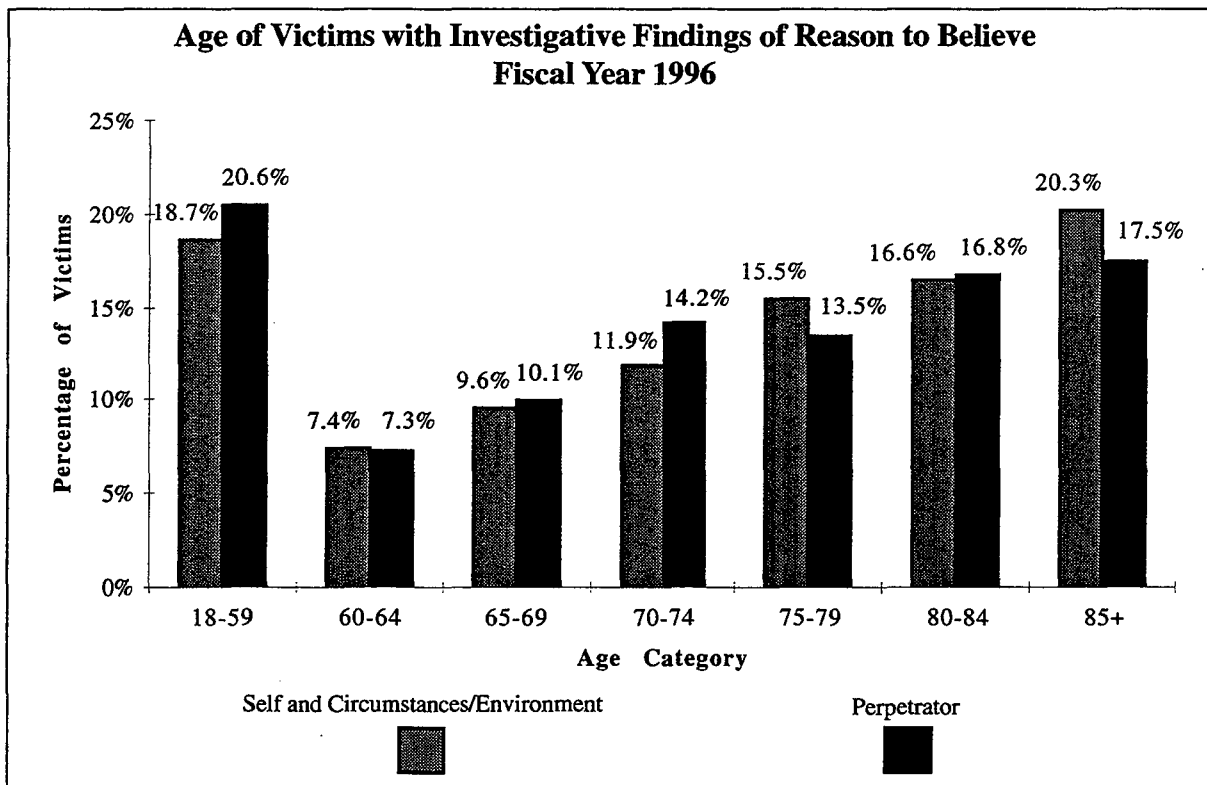
In fiscal year 1996, the typical victim of home and community A/N/E was a white female over 70 years of age who lived alone. Overall, 65 percent of the victims were female. Males were more frequently victims of self neglect or poor circumstances/environments while females were more likely to be victims of a perpetrator.



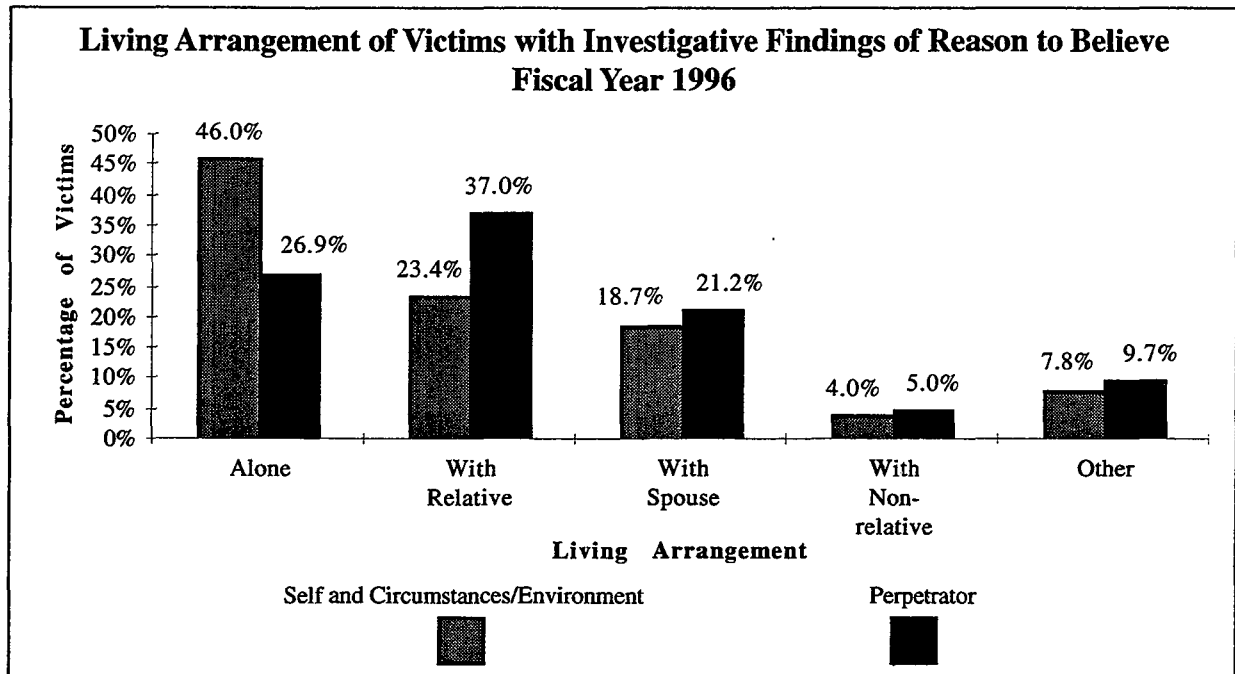
In fiscal year 1996, almost 82 percent of the victims were white and over 16 percent were black. There were no significant differences among race when comparing the source of the abuse, neglect or exploitation in investigations where there was Reason to Believe A/N/E occurred.



By age category, A/N/E of victims under 75 years of age was more likely caused by a perpetrator, whereas the A/N/E of victims aged 75 or older was more often a result of self neglect or circumstances/environment.



Abuse, neglect or exploitation of victims who lived alone was most often a result of self neglect or circumstances/environment. In contrast, those victims who did not live alone were more often victims of other perpetrators.



PERPETRATOR DEMOGRAPHICS

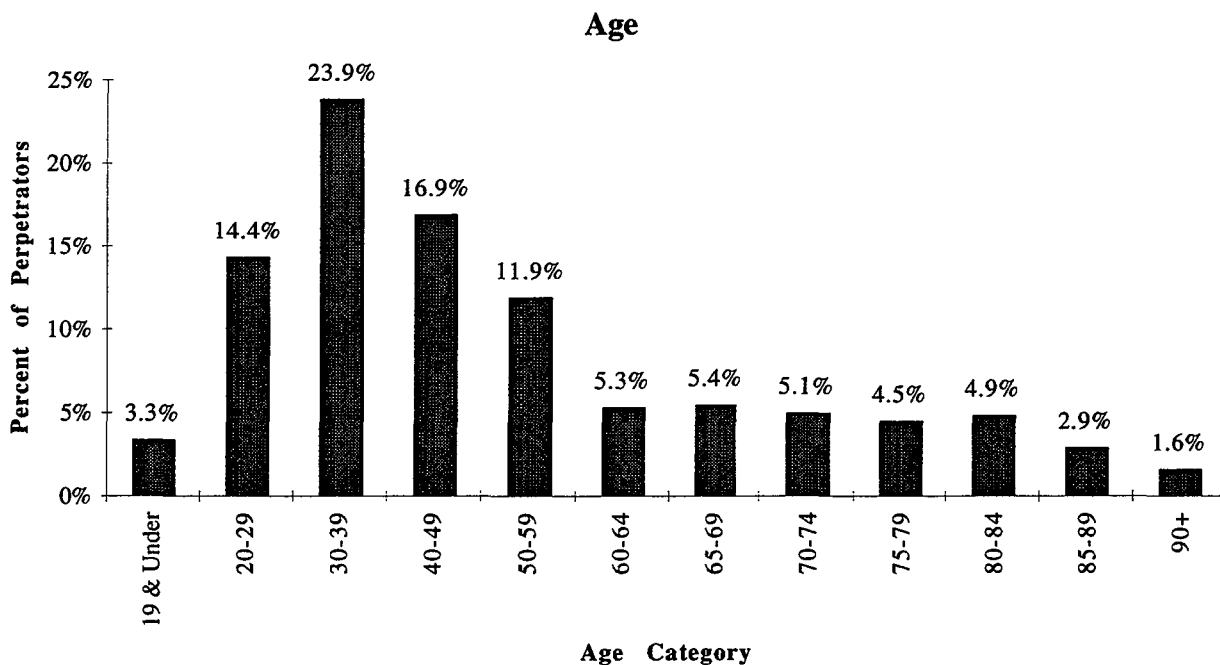
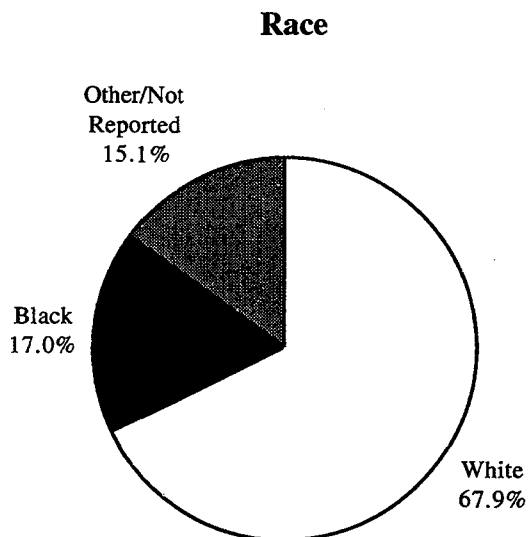
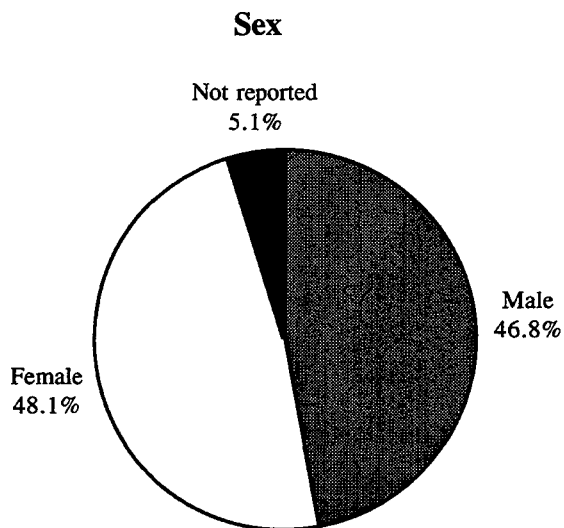
Of the investigations where there were Reason to Believe perpetrators, 812 or almost 69 percent of perpetrators were relatives of the victim. Relatives committing A/N/E were most often children or spouses.

Relationship of Perpetrators with Investigative Findings of Reason to Believe Home and Community Elder Abuse, Neglect, and Exploitation Fiscal Year 1996		
<u>Relationship</u>	<u>Number</u>	<u>Percent</u>
Adult Child	382	32.3%
Spouse	187	15.8
Other Relative	106	9.0
In-Home Service Provider	94	8.0
Grandchild	66	5.6
Friend/Neighbor	61	5.2
Unknown	47	4.0
Housemate	44	3.7
Parent	43	3.6
Sibling	28	2.4
Landlord	24	2.0
Health Care Provider	20	1.7
Guardian	7	0.6
Other	<u>72</u>	<u>6.1</u>
Total Perpetrators	1,181	100.0

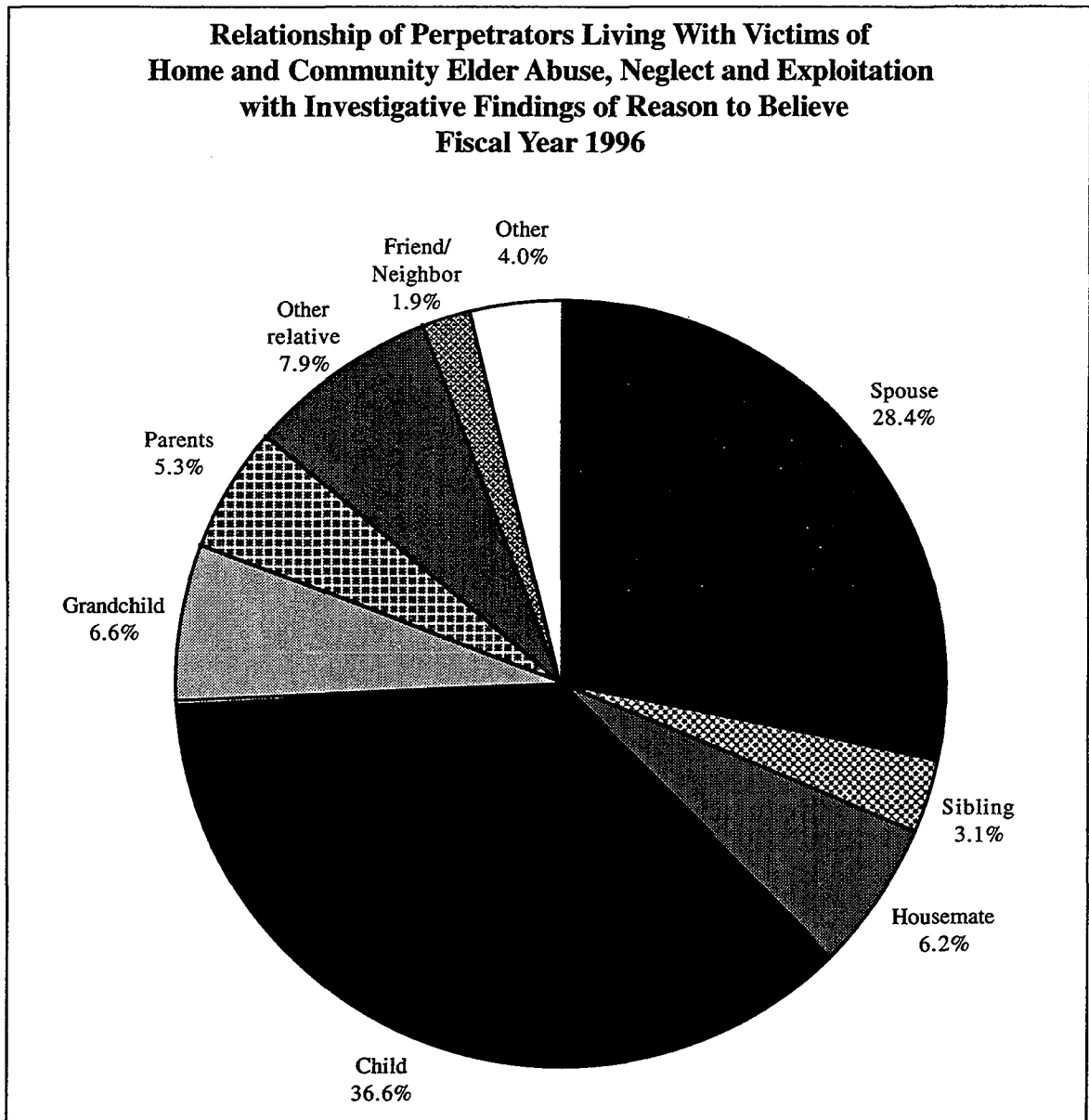
Note: Multiple perpetrators may be identified in one investigation.

In home and community A/N/E investigations where perpetrators were identified, the typical perpetrator was white, under 50 years of age and a relative living with the victim. Age was unrecorded for 55 percent of the perpetrators. Where age was recorded, 70 percent of the Reason to Believe perpetrators were under 60 years of age.

**Profile of Perpetrators with Investigative Findings of Reason to Believe
Home and Community Elder Abuse, Neglect and Exploitation
Fiscal Year 1996**



In fiscal year 1996, about 51 percent of the Reason to Believe perpetrators lived with the victim. Of perpetrators living with the victim, 37 percent were adult children and 28 percent were spouses. Other relatives accounted for 23 percent of the perpetrators. Over six percent were identified as housemates.



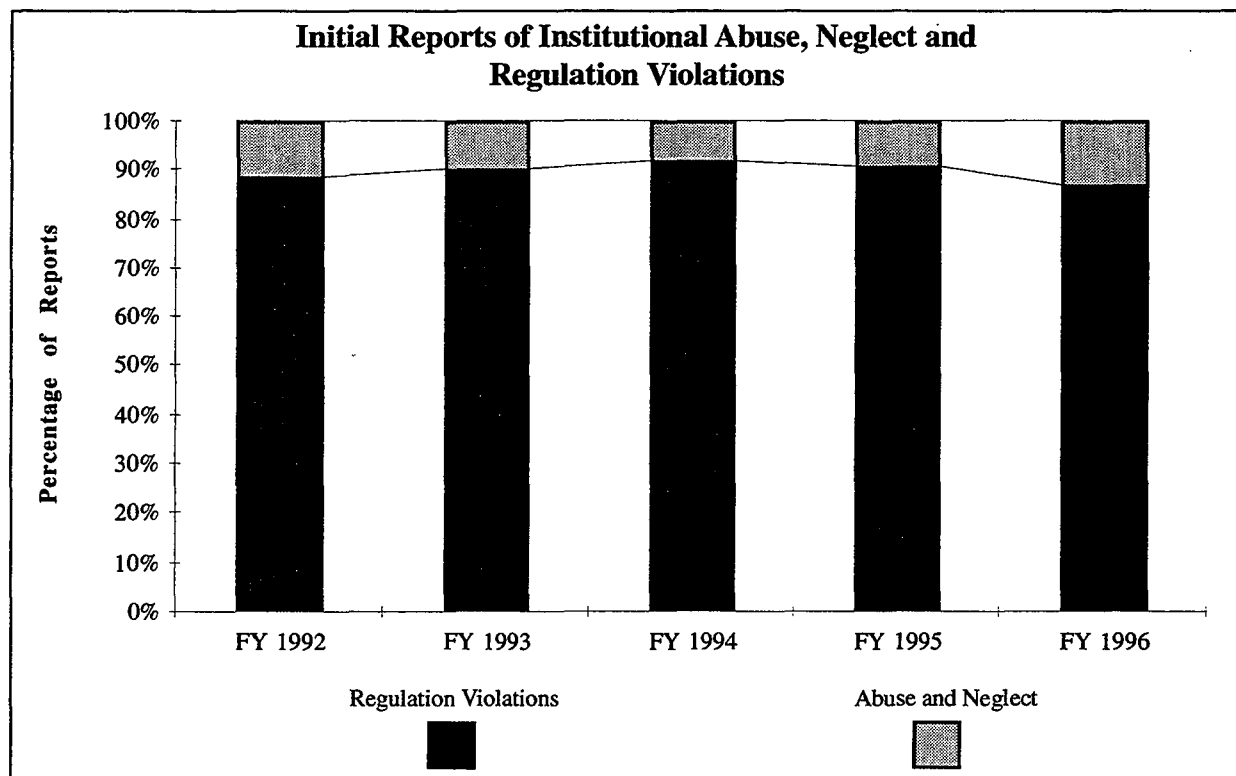
INSTITUTIONAL

INITIAL REPORTS

The report process for institutional A/N or facility complaints is similar to the process for home and community A/N/E. The CRU forwards the complaint to one of seven regional offices for investigation. Since 1992, the CRU has recorded over 32,000 reports of alleged institutional A/N and regulation violations. In fiscal year 1996, there were 6,842 reports involving licensed DA facilities, a 3 percent decrease from fiscal year 1995 but a 25 percent jump from fiscal year 1992. Since fiscal year 1992, the number of initial regulation violation reports increased almost 23 percent to 5,596; A/N reports increased 43 percent to 886.

Initial Reports of Institutional Abuse, Neglect and Regulation Violations						
	Abuse, Neglect	Percentage Change	Regulation Violations	Percentage Change	Total	Percentage Change
FY 1992	618	-	4,853	-	5,471	-
FY 1993	621	0.5	5,596	15.3	6,217	13.6
FY 1994	523	-15.8	5,932	6.0	6,455	3.8
FY 1995	656	25.4	6,400	7.9	7,056	9.3
FY 1996	886	35.1	5,956	-6.9	6,842	-3.0

In fiscal year 1996, the 5,969 regulation violations accounted for 87 percent of all institutional reports. The remaining 886 reports of A/N accounted for 13 percent. The proportions of regulation violation and A/N reports remained fairly constant since fiscal year 1992. However, since fiscal year 1994 the proportion of A/N reports increased slightly.



REPORTERS

Law enforcement, health care professionals and employees of long-term care facilities (LTCs) that have a reasonable cause to suspect the A/N of an adult in a facility are mandated by law to report the incident to the CRU (see sections 198.070 RSMo, and 565.180-565.190 RSMo for a complete description). In fiscal year 1996, anonymous reporters, long-term care personnel, and relatives of nursing facility residents were the most common reporters of alleged A/N or regulation violations.

Reporters of Institutional Abuse, Neglect and Regulation Violations Fiscal Year 1996

<u>Reporters</u>	<u>Number of Reports</u>	<u>Percent</u>
Anonymous	1,381	20.2%
LTC Director of Nursing	1,172	17.1
Son/Daughter	764	11.2
LTC Administrator	628	9.2
LTC LPN/RN	401	5.9
Self	267	3.9
LTC Other Employee	249	3.6
Other Relative	233	3.4
LTC Former Employee	209	3.1
Friend/Neighbor	195	2.9
Grandchild	164	2.4
LTC Nurse Aide	152	2.2
Hospital Social Services Employee	150	2.2
Spouse	127	1.9
Sibling	106	1.5
Health Care Professional	83	1.2
Division of Aging Employee	65	1.0
Mental Health Professional	61	0.9
Parent	47	0.7
LTC Operator/Manager	38	0.6
Unknown	36	0.5
DSS Employee	29	0.4
Physician/Dentist	25	0.4
Ombudsman	17	0.2
Area Agency on Aging	6	0.1
Other	<u>237</u>	<u>3.5</u>
Total	6,842	100.0

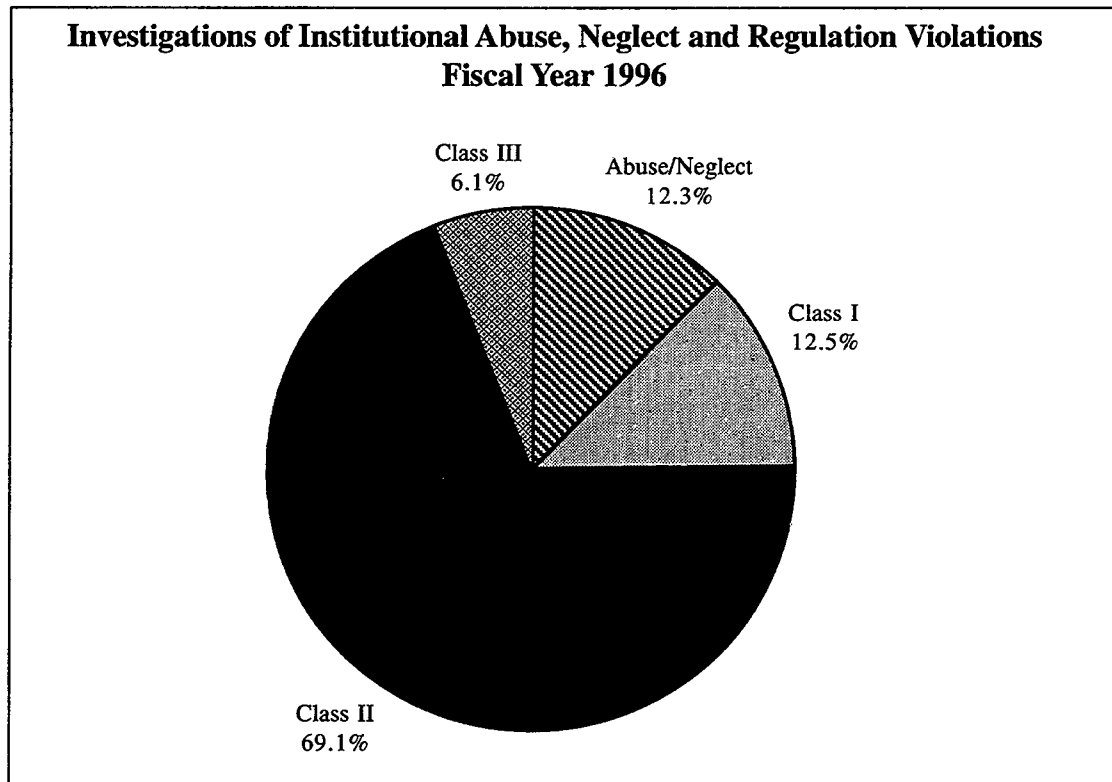
LTC = long-term care

Other includes guardians, housemates, law enforcement, government officials, legal counsel, clergy, in-home service providers, landlords and other.

Percentages may not add to 100 because of rounding.

REPORT CLASS AND INVESTIGATION TIME FRAMES

In fiscal year 1996, findings of 7,054 completed investigations of institutional A/N or regulation violations were entered into the CRANE database. Institutional reports are classified according to the severity of the A/N or regulation violation. In fiscal year 1996, A/N accounted for 868 or over 12 percent of completed investigations, 881 Class I regulation violations accounted for almost 13 percent, 4,876 Class II regulation violations accounted for over 69 percent and 429 Class III regulation violations comprised six percent of institutional reports.



Due to the severity of A/N and Class I regulation violations, 1,631 or 93 percent of these reports were investigated within 24 hours. Approximately 1,881 or 39 percent of Class II reports were seen within 20 days; 2,466 or 51 percent of the Class II reports were reviewed within 30 days. Class III reports require investigation at the next inspection or survey of the facility.

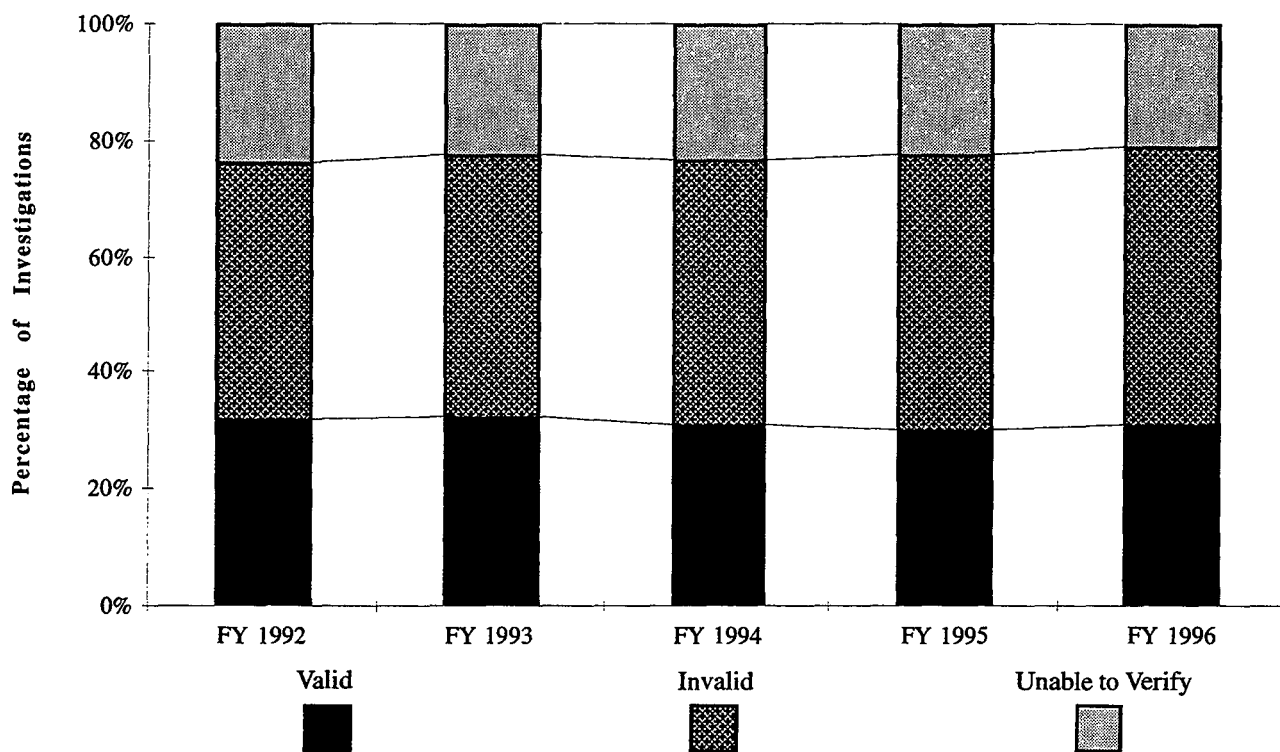
INVESTIGATIVE FINDINGS

Investigative findings of institutional reports are determined to either be Valid, Invalid, or Unable to Verify. Valid findings accounted for 2,192 or 31 percent, Invalid findings comprised 3,372 or 48 percent and Unable to Verify accounted for 1,490 or 21 percent of investigative findings recorded during fiscal year 1996. Between fiscal years 1992 and 1996, the percentage of investigative findings remained steady across Valid, Invalid and Unable to Verify.

Findings Based on Completed Investigations of Institutional Abuse, Neglect and Regulation Violations

	Valid	Percentage Change	Invalid, Unsubstantiated, or Not in Violation	Percentage Change	Unable to Verify	Percentage Change	Total	Percentage Change
FY 1992	1,699	-	2,317	-	1,262	-	5,278	-
FY 1993	1,738	2.3	2,396	3.4	1,205	-4.5	5,339	1.2
FY 1994	1,970	13.3	2,923	22.0	1,468	21.8	6,361	19.1
FY 1995	1,987	0.9	3,144	7.6	1,491	1.6	6,622	4.1
FY 1996	2,192	10.3	3,372	7.3	1,490	<-0.1	7,054	6.5

Findings of Completed Investigations of Institutional Abuse, Neglect and Regulation Violations



Valid findings are further divided according to the status *at the time of investigation* of the A/N or regulation violation. Uncorrected findings of Valid investigations accounted for 822 or 38 percent of Valid findings in fiscal year 1996; those Corrected Before Investigation comprised 1,344 findings or 61 percent.

Valid Findings in Completed Investigations of Institutional Abuse, Neglect and Regulation Violations

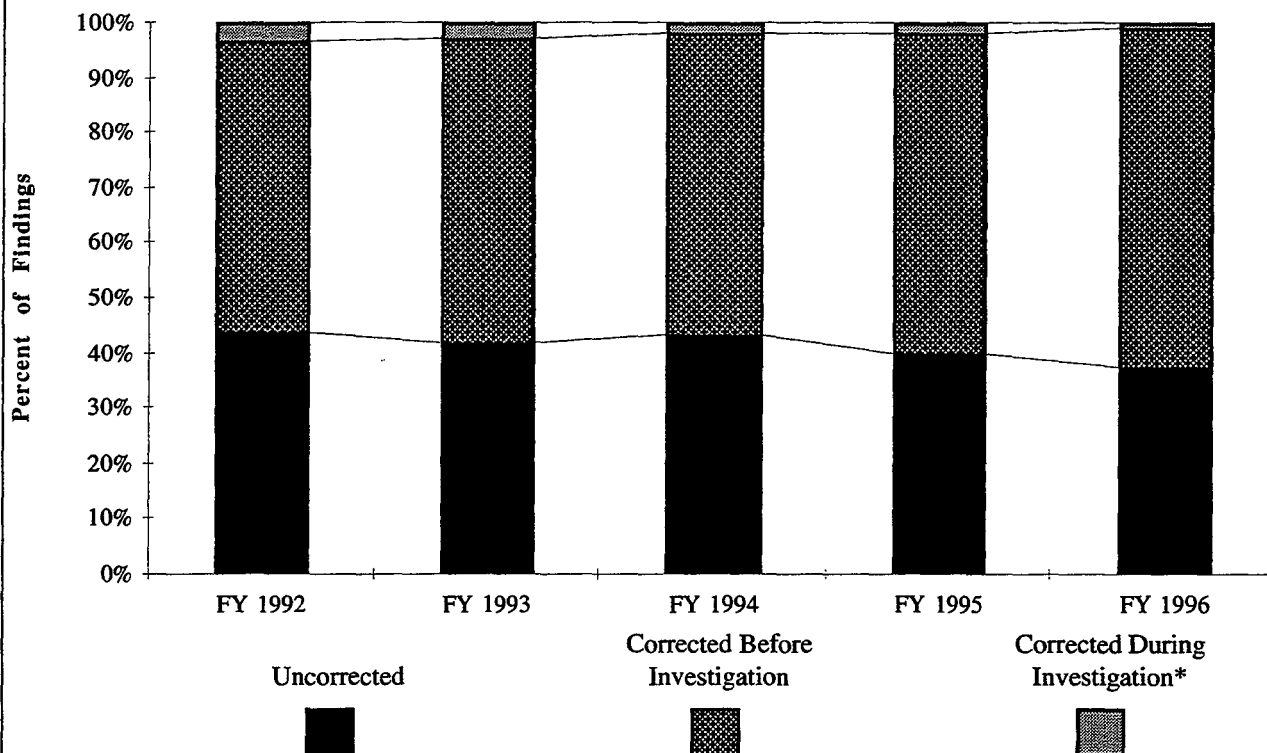
	Uncorrected	Percentage Change	Corrected Before Investigation	Percentage Change	Corrected During Investigation Uncertified**	Percentage Change	Corrected During Investigation Certified*	Percentage Change
FY 1992	743	-	900	-	36	-	20	-
FY 1993	725	-2.4	959	6.6	32	-11.1	22	10.0
FY 1994	853	17.7	1,077	12.3	20	-37.5	20	-9.1
FY 1995	794	-6.9	1,153	7.1	26	30.0	14	-30.0
FY 1996	822	3.5	1,344	16.6	16	-38.5	10	-28.6

*Certified: Certified under XVIII Medicare/Title XIX Medicaid.

**Uncertified: License only.

Compared to fiscal year 1992, the proportion of Uncorrected Valid findings to other Valid findings in fiscal year 1996 decreased, while the proportion of findings of Corrected Before Investigation increased. After a regulation violation has been found, the facility has 40 days to correct the problem if it is of Class II severity, and 120 days if it is of Class III severity. If the violations are not corrected within the specified time frames, legal action may be taken.

Valid Findings in Completed Investigations of Institutional Abuse, Neglect and Regulation Violations



*Includes both certified and uncertified facilities.

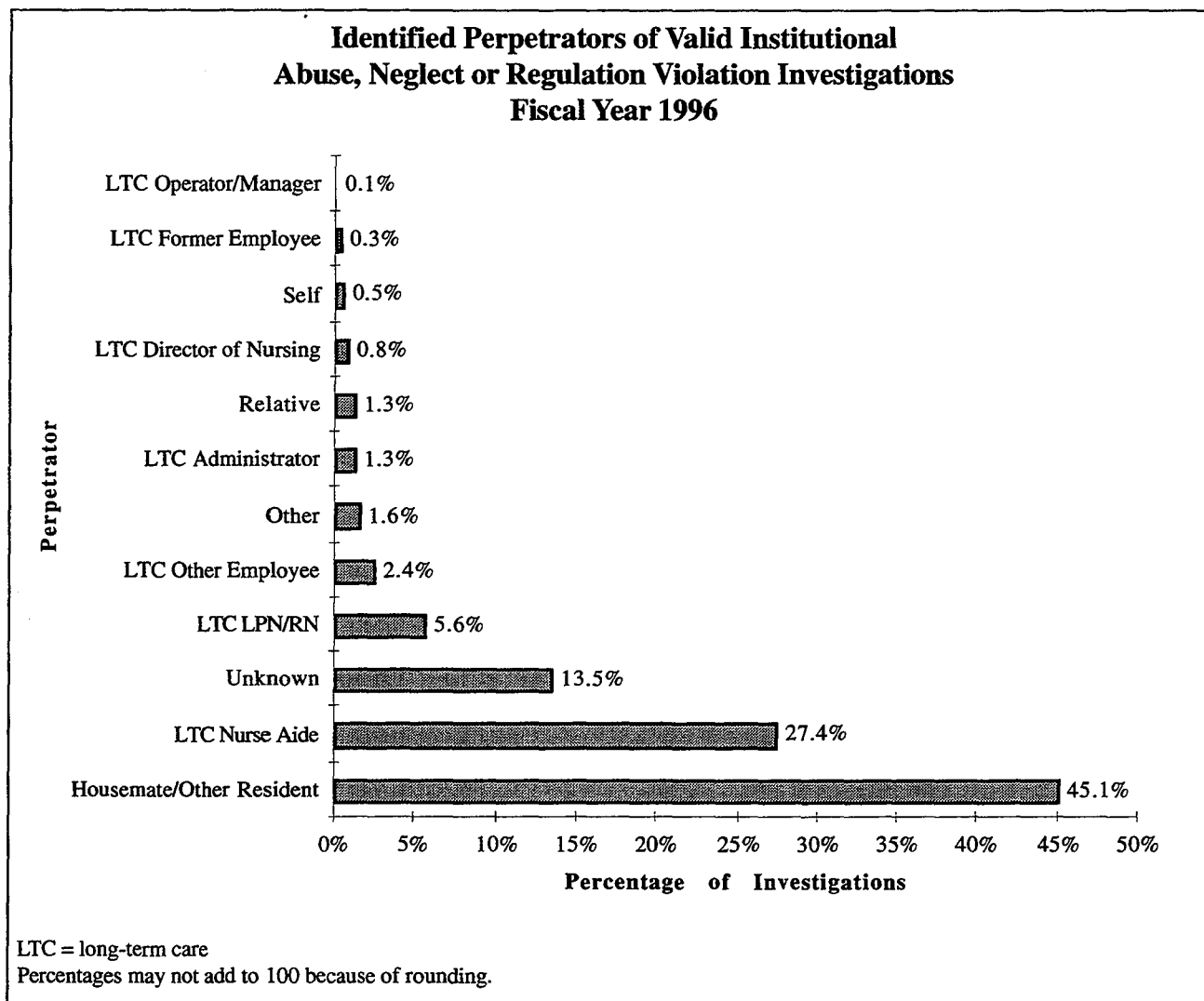
INVESTIGATED CASES

The allegations of institutional A/N and regulation violations ranged from improper resident care to poor conditions at the facility. Institutional reports averaged two allegations per investigation. Of the reported natures of A/N, 70 percent were found to be Invalid or Unable to Verify. Of the reported natures of regulation violations, problems with resident care were most often reported followed by nursing care. However, upon investigation, the majority of regulation violations were found to be Invalid.

Nature of Institutional Abuse, Neglect and Regulation Violations as Investigated Fiscal Year 1996				
<u>Nature</u>	<u>Number of Incidents</u>	<u>Finding</u>		
		<u>Valid</u>	<u>Invalid</u>	<u>Unable to Verify</u>
Abuse/Neglect	2,578	29.9%	39.3%	30.8%
Regulation Violations				
Resident Care	2,718	24.9	59.1	15.9
Nursing Care	1,493	22.6	58.7	18.6
Resident Rights	1,140	15.9	62.9	21.2
Personnel	801	22.3	67.8	9.9
Sanitation	553	18.3	73.6	8.1
Dietary	465	13.8	73.1	13.2
Medications	388	16.5	66.2	17.3
Physical Plant	297	20.5	70.7	8.8
Personal Funds and Property	238	18.1	59.7	22.3
Other	134	24.6	58.2	17.2
Fire Safety	71	23.9	71.8	4.2
Social & Emotional Needs	30	6.7	70.0	23.3
Administrative Licensing	21	23.8	66.7	9.5
Note: The number of incidents is not directly related to the number of investigations as reports/investigations may contain multiple allegations. Percentages may not add to 100 because of rounding.				

PERPETRATOR INFORMATION

Long-term care facility employees accounted for 38 percent of the perpetrators identified in Valid institutional investigations in fiscal year 1996. Of all perpetrators, other residents were most frequently identified in Valid investigations. Of long-term care personnel, nurse aides were the most frequent perpetrators.



APPENDIX

Appendix A. Definitions

A/N/E: Abuse, neglect or exploitation.

A/N: Abuse or neglect.

Abuse: The infliction of physical, sexual or emotional injury or harm.

Neglect: The failure by the individual or by those responsible for the care, custody and control of the individual, to provide services which are reasonable and necessary to maintain the physical and mental health of the individual, when such failure presents either an imminent danger to the health, safety, or welfare of the individual or a substantial probability that death or serious physical harm would result.

Exploitation: Illegal or improper use of a person's property or resources to the degree that substantial risk or harm exists.

Eligible Adults: 1) Missouri residents who are aged 60 or older; 2) Adults with physical or mental impairments that limit their ability to perform activities of daily living; and 3) residents of nursing facilities, residential care facilities, or ICF/MR facilities.

Investigator: The DA case worker who reviews the report of A/N/E or regulation violation.

MCO Referral: MCO referrals are initiated by calls from hospitals, nursing facilities or the community to the CRU. The CRU determines if the referred individual meets the definition of a MCO client (considering facility placement and potentially Medicaid eligible), completes the necessary paperwork, and forwards the referral to the appropriate DA field office for assessment and follow up.

Regulation Violation: Evidence of facility noncompliance with rules and regulations.

Statement of Concern: A complaint received about a facility which is not within the regulatory jurisdiction of the Division of Aging or does not have any effect on resident care.

Perpetrator: An individual, other than the victim himself/herself or circumstances/environment, that committed the abuse.

Classes of Home and Community Reports

Class I: Imminent danger or an emergency situation.

Class II: Direct or immediate relationship to the health, safety, or welfare of the reported adult, but which does not create imminent danger.

Appendix A. Definitions

Classes of Institutional Reports

A/N: The infliction of physical, sexual or emotional injury or harm; or the failure to provide, by those responsible for the care, custody, and control of a resident in a facility, the services which are reasonable and necessary to maintain the physical and mental health of the resident when such failure presents imminent danger or a substantial probability that death or serious physical harm would result.

Class I: A violation of regulations which would present either an imminent danger to the health, safety or welfare of any resident or a substantial probability that death or serious physical harm would result.

Class II: Violations which have a direct or immediate relationship to the health, safety or welfare of any resident, but which do not create an imminent danger.

Class III: Violations which have an indirect or a potential impact on the health, safety or welfare of any resident.

Description of Home and Community Investigative Findings

Reason to Believe: Substantial amount of evidence is found supporting the allegations contained in the report.

Suspected: Based on worker judgement, allegations contained in the report are probable or likely.

Unsubstantiated: The evidence of the investigation does not support the allegations in the report.

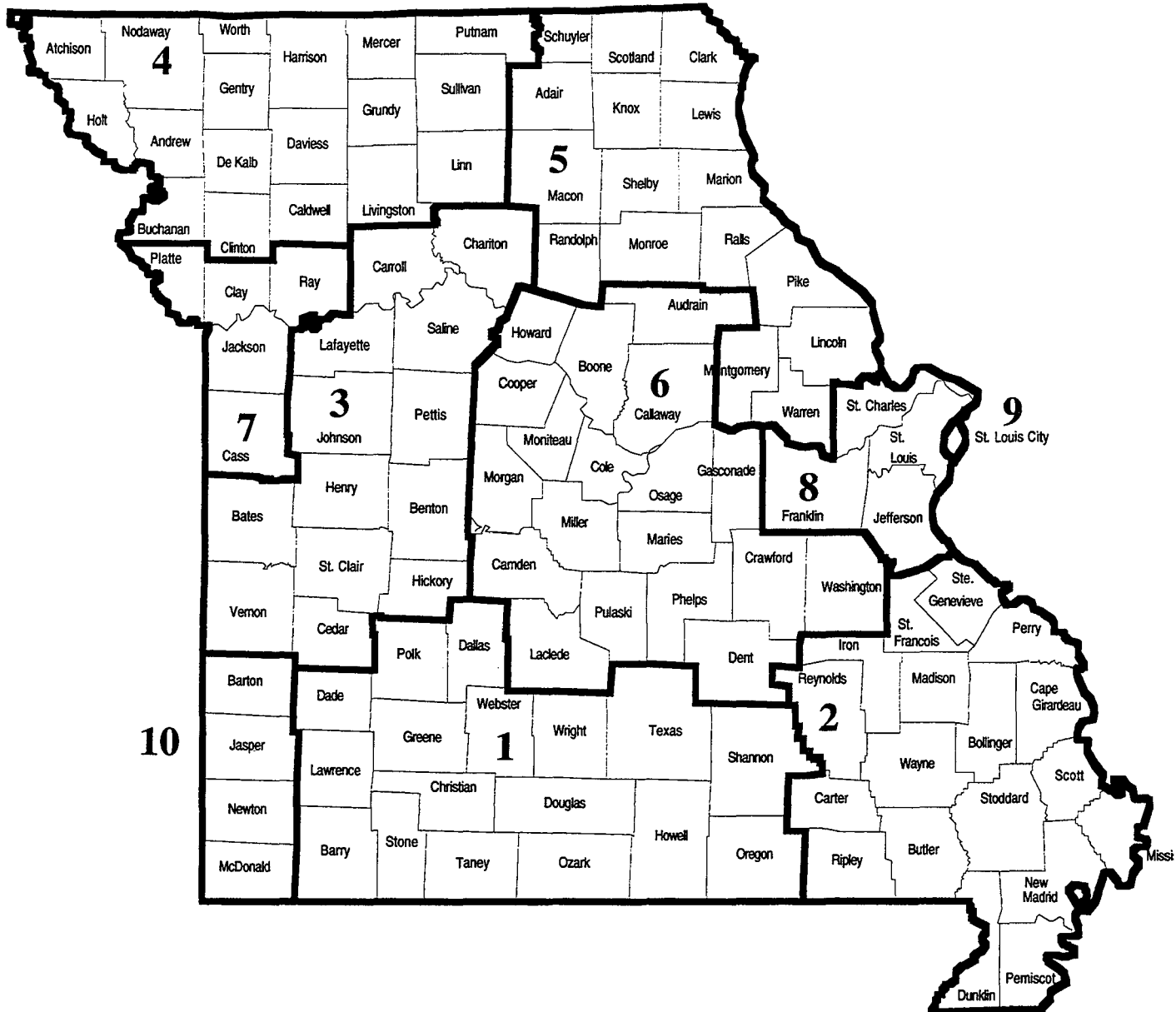
Description of Institutional Investigative Findings

Valid: A conclusion the allegation did occur and there was a statutory or regulation violation; OR a conclusion that there is reasonable likelihood that the allegation did occur and there was a statutory or regulation violation.

Unable to Verify: This code is used when a complaint is investigated and there is conflicting information collected to the extent that no conclusion could be reached.

Invalid: A conclusion that the allegation did not occur; a conclusion that there is not a reasonable likelihood that the allegation occurred; OR a conclusion that the allegation either occurred or there is a reasonable likelihood that it occurred, but there is not a statutory or regulatory violation.

Appendix B. Missouri Division of Aging Home and Community Services Regions



Region 1 & 10

Division of Aging
149 Park Central Square
Springfield, MO 65806
417/895-6456

Region 3 & 7

Division of Aging
Suite 405, State Office Bldg.
615 East 13th St.
Kansas City, MO 64106
816/889-3100

Region 5 & 6

Division of Aging
Parkade Center, #217
Columbia, MO 65203
573/882-9474

Region 2

Division of Aging
808 Hunter
P.O. Box 908
Sikeston, MO 63801
573/472-5233

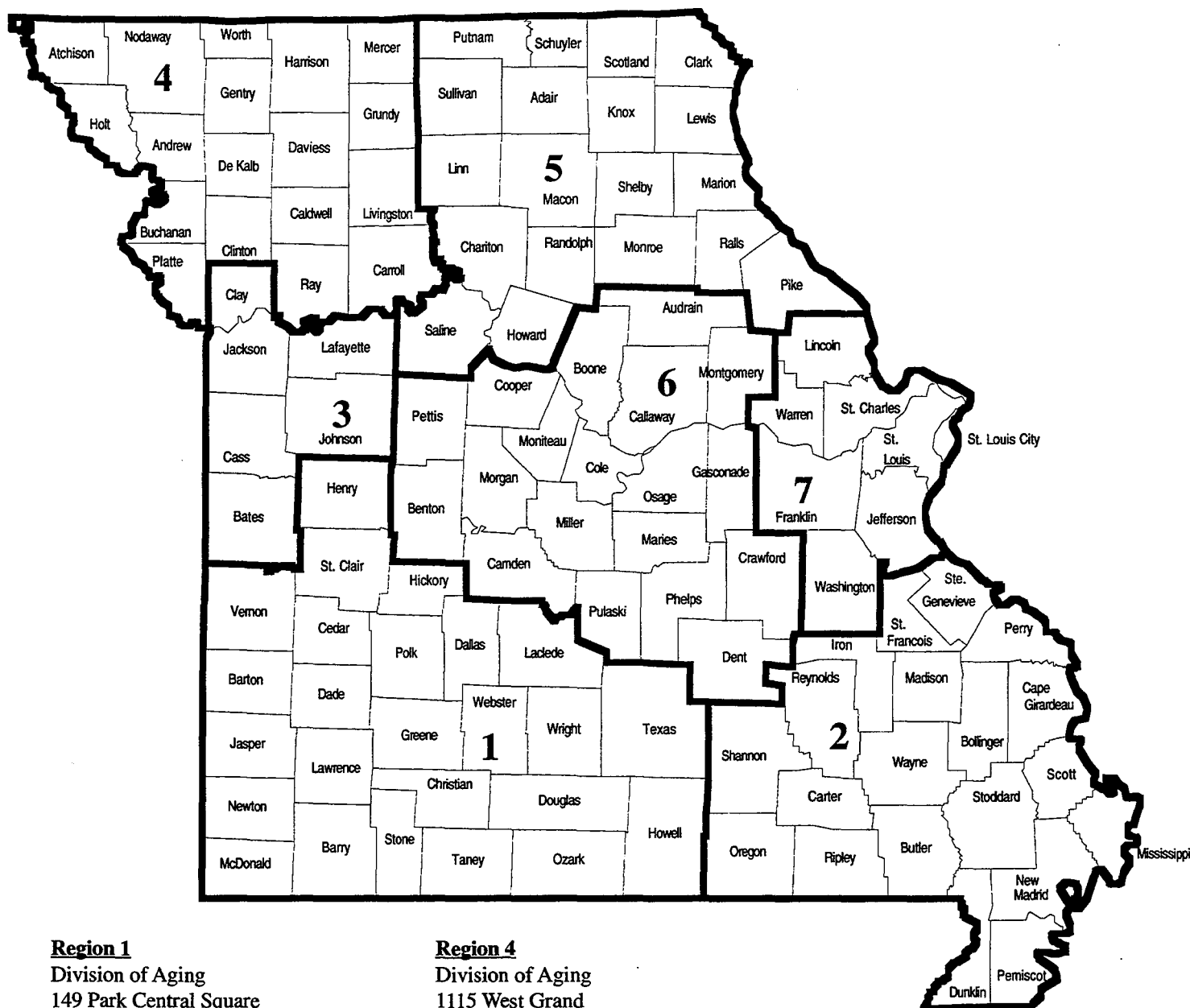
Region 4

Division of Aging
525 Jules St., Room 319
St. Joseph, MO 64501
816/387-2100

Region 8 & 9

Division of Aging
Wainwright Bldg.
111 N. 7th St., 4th Floor
St. Louis, MO 63101
314/340-7300

Appendix C. Missouri Division of Aging Institutional Services Regions



Region 1

Division of Aging
149 Park Central Square
Springfield, MO 65806
417/895-6435

Region 4

Division of Aging
1115 West Grand
P.O. Box 415
Cameron, MO 64429
816/632-6541

Region 2

Division of Aging
P.O. Box 1207
Poplar Bluff, MO 63901
573/686-9590

Region 5

Division of Aging
313 N. Rollins
Macon, MO 63552
816/385-5763

Region 7

Division of Aging
Wainwright Bldg., Room 500
111 N. 7th St.
St. Louis, MO 63101
314/340-7360

Region 3

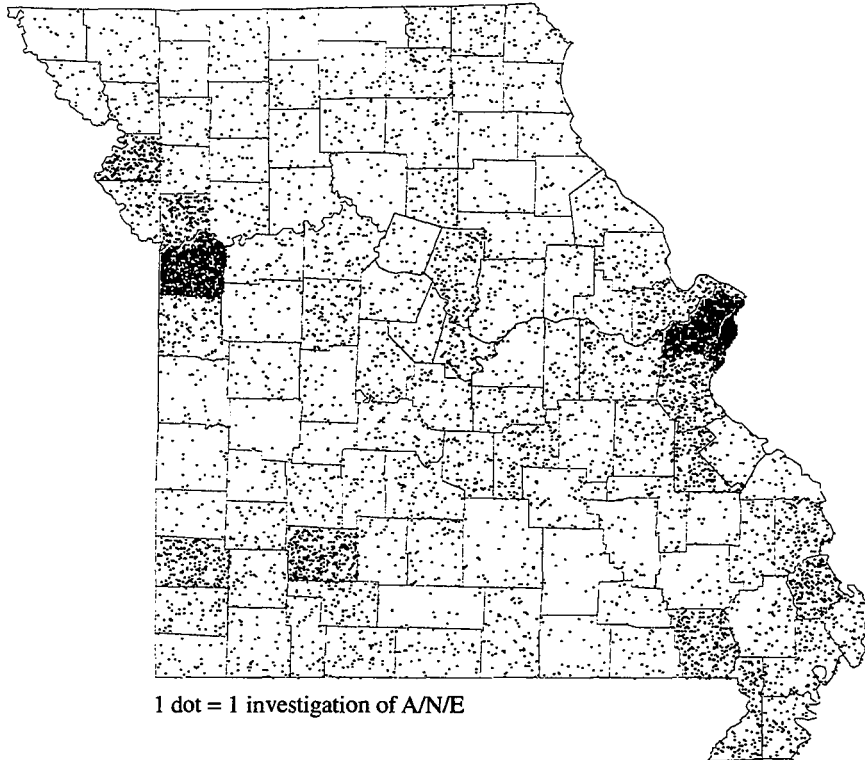
Division of Aging
4th Floor, State Office Bldg.
615 E. 13th St.
Kansas City, MO 64106
816/889-2818

Region 6

Division of Aging
615 Howerton Court
P.O. Box 1337
Jefferson City, MO 65102
573/751-2270

Appendix D. Distribution of Home and Community Elder Abuse, Neglect and Exploitation Investigations in Missouri

**Fiscal Year 1996
(10,619 Investigations)**



**Reason to Believe Findings for Victims of Home and Community Elder Abuse, Neglect or Exploitation by Region
Fiscal Year 1996**

<u>Region</u>	<u>Reason to Believe Victims*</u>		<u>State Population -- 1990 Census</u>	
	<u>Percent of All Victims</u> (4,279 persons)	<u>Percent of Victims Aged 60 or Older</u> (3,477 persons)	<u>Percent of Total State Population</u> (5,117,073 persons)	<u>Percent of 60+ Population</u> (948,236 persons)
1	8.4	8.5	10.1	11.2
2	15.8	14.7	8.0	9.1
3	5.0	4.9	4.9	6.0
4	7.3	7.6	4.8	6.1
5	5.7	5.9	4.4	5.0
6	13.1	13.0	10.2	9.7
7	15.8	15.6	18.1	16.1
8	15.4	15.9	28.5	24.4
9	11.3	11.4	7.8	8.9
10	<u>2.2</u>	<u>2.4</u>	<u>3.2</u>	<u>3.5</u>
Total	100.0	100.0	100.0	100.0

Note: Percentages may not add to 100 because of rounding

* Unduplicated by Departmental Client Number (DCN) if victim had a DCN.

**Appendix E. Initial Reports of Home and Community Abuse, Neglect and Exploitation
of the Disabled and Older Adults by County and Service Region**

Fiscal Year 1996

		Disabled Aged 18-59	Older Adults Aged 60+	Total*
Region 1	Barry	3	42	45
	Christian	12	52	64
	Dade	10	33	43
	Dallas	4	28	32
	Douglas	3	11	14
	Greene	53	301	354
	Howell	17	63	80
	Lawrence	11	37	48
	Oregon	3	29	32
	Ozark	1	49	50
	Polk	13	39	52
	Shannon	-	18	18
	Stone	8	37	45
	Taney	6	55	61
	Texas	14	33	47
	Webster	5	19	24
	Wright	5	42	47
	REGION TOTAL	168	888	1,056
Region 2	Bollinger	12	45	57
	Bulter	64	192	256
	Cape Girardeau	30	102	132
	Carter	6	16	22
	Dunklin	21	96	117
	Iron	3	40	43
	Madison	16	30	46
	Mississippi	16	51	67
	New Madrid	24	63	87
	Pemiscot	21	61	82
	Perry	10	19	29
	Reynolds	5	18	23
	Ripley	7	23	30
	St. Francois	43	126	169
	Ste. Genevieve	4	33	37
	Scott	29	162	191
	Stoddard	10	47	57
	Wayne	5	20	25
	REGION TOTAL	326	1,144	1,470
Region 3	Bates	8	27	35
	Benton	8	32	40
	Carroll	3	25	28
	Cedar	1	22	23
	Chariton	8	13	21
	Henry	4	35	39
	Hickory	2	15	17
	Johnson	16	22	38
	Lafayette	14	32	46
	Pettis	16	89	105
	St. Clair	4	6	10
	Saline	17	59	76
	Vernon	5	21	26
	REGION TOTAL	106	398	504
Region 4	Andrew	1	32	33
	Atchison	3	10	13
	Buchanan	42	169	211
	Caldwell	2	20	22
	Clinton	7	25	32
	Daviess	5	17	22
	De Kalb	3	28	31
	Gentry	1	16	17
	Grundy	5	18	23
	Harrison	11	23	34
	Holt	2	23	25
	Linn	5	30	35
	Livingston	6	22	28

**Appendix E. Initial Reports of Home and Community Abuse, Neglect and Exploitation
of the Disabled and Older Adults by County and Service Region**

Fiscal Year 1996

		Disabled Aged 18-59	Older Adults Aged 60+	Total*
Region 5	Mercer	1	6	7
	Nodaway	7	30	37
	Putnam	-	4	4
	Sullivan	4	24	28
	Worth	1	4	5
	REGION TOTAL	106	501	607
	Adair	20	61	81
	Clark	3	22	25
	Knox	1	23	24
	Lewis	-	20	20
	Lincoln	10	43	53
	Macon	6	20	26
	Marion	10	50	60
	Monroe	-	13	13
	Montgomery	2	30	32
	Pike	3	43	46
	Ralls	3	16	19
	Randolph	5	56	61
	Schuyler	3	30	33
Region 6	Scotland	7	37	44
	Shelby	-	12	12
	Warren	3	27	30
	REGION TOTAL	76	503	579
	Audrain	2	27	29
	Boone	40	136	176
	Callaway	8	41	49
	Camden	15	55	70
	Cole	30	78	108
	Cooper	3	31	34
	Crawford	5	32	37
	Dent	12	41	53
	Gasconade	6	40	46
	Howard	3	15	18
	Laclede	13	66	79
	Maries	-	19	19
	Miller	17	44	61
	Moniteau	6	32	38
	Morgan	14	53	67
	Osage	4	16	20
Region 7	Phelps	27	111	138
	Pulaski	21	62	83
	Washington	25	68	93
	REGION TOTAL	251	967	1,218
	Cass	18	86	104
	Clay	34	159	193
	Jackson	270	1,438	1,708
	Platte	16	53	69
	Ray	10	28	38
	REGION TOTAL	348	1,764	2,112
Region 8	Franklin	31	105	136
	Jefferson	50	221	271
	St. Charles	32	135	167
	St. Louis County	243	1,404	1,647
	REGION TOTAL	356	1,865	2,221
Region 9	St. Louis City	271	1,595	1,866
	REGION TOTAL	271	1,595	1,866
Region 10	Barton	2	19	21
	Jasper	43	189	232
	McDonald	3	19	22
	Newton	4	64	68
	REGION TOTAL	52	291	343
	STATE TOTAL	2,060	9,916	11,976

**Appendix F. Status of Home and Community Investigative Findings of Abuse, Neglect and
Exploitation by County and Service Region
Fiscal Year 1996**

		Reason to Believe	Suspected	Unsubstantiated	Total
Region 1	Barry	19	16	10	45
	Christian	37	12	15	64
	Dade	40	1	3	44
	Dallas	20	3	7	30
	Douglas	7	3	1	11
	Greene	162	84	75	321
	Howell	22	9	32	63
	Lawrence	28	7	9	44
	Oregon	17	4	4	25
	Ozark	23	7	12	42
	Polk	29	9	10	48
	Shannon	2	2	9	13
	Stone	23	9	5	37
	Taney	32	15	11	58
	Texas	13	16	8	37
	Webster	13	3	11	27
	Wright	26	7	10	43
	REGION TOTAL	513	207	232	952
Region 2	Bollinger	43	-	10	53
	Bulter	146	31	58	235
	Cape Girardeau	101	4	20	125
	Carter	11	1	10	22
	Dunklin	81	16	23	120
	Iron	36	5	5	46
	Madison	38	6	6	50
	Mississippi	49	10	7	66
	New Madrid	66	19	11	96
	Pemiscot	47	12	12	71
	Perry	18	3	5	26
	Reynolds	21	-	2	23
	Ripley	19	5	7	31
	St. Francois	85	27	35	147
	Ste. Genevieve	21	-	9	30
	Scott	110	26	46	182
	Stoddard	34	3	13	51
	Wayne	11	8	2	21
	REGION TOTAL	938	176	281	1,395
Region 3	Bates	16	4	7	27
	Benton	24	2	4	30
	Carroll	19	2	1	22
	Cedar	18	1	3	22
	Chariton	13	-	3	16
	Henry	26	9	1	36
	Hickory	12	2	-	14
	Johnson	18	3	10	31
	Lafayette	16	12	9	37
	Pettis	78	6	18	102
	St. Clair	9	2	-	11
	Saline	34	14	15	63
	Vernon	10	8	3	21
	REGION TOTAL	293	65	74	432
Region 4	Andrew	10	7	14	31
	Atchison	10	-	2	12
	Buchanan	131	35	46	212
	Caldwell	15	3	2	20
	Clinton	24	3	4	31
	Daviess	19	1	6	26
	De Kalb	17	10	1	28
	Gentry	5	7	1	13
	Grundy	14	5	4	23
	Harrison	31	1	1	33
	Holt	8	6	7	21
	Linn	19	3	11	33
	Livingston	15	2	8	25

**Appendix F. Status of Home and Community Investigative Findings of Abuse, Neglect and
Exploitation by County and Service Region**

Fiscal Year 1996

		Reason to Believe	Suspected	Unsubstantiated	Total
Region 5	Mercer	6	-	1	7
	Nodaway	29	5	3	37
	Putnam	3	-	-	3
	Sullivan	26	2	4	32
	Worth	2	-	-	2
	REGION TOTAL	384	90	115	589
	Adair	44	12	8	64
	Clark	29	-	2	31
	Knox	11	6	6	23
	Lewis	14	2	6	22
	Lincoln	45	4	8	57
	Macon	20	-	2	22
	Marion	30	4	22	56
	Monroe	7	1	5	13
	Montgomery	19	2	7	28
	Pike	32	2	13	47
	Ralls	7	1	8	16
	Randolph	33	7	11	51
	Schuyler	11	9	4	24
Region 6	Scotland	27	11	5	43
	Shelby	4	7	3	14
	Warren	23	1	4	28
	REGION TOTAL	356	69	114	539
	Audrain	19	3	8	30
	Boone	100	14	34	148
	Callaway	29	11	13	53
	Camden	54	1	9	64
	Cole	57	25	8	90
	Cooper	16	8	8	32
	Crawford	28	8	4	40
	Dent	36	9	8	53
	Gasconade	32	1	12	45
	Howard	15	1	3	19
	Laclede	62	1	5	68
	Maries	9	1	5	15
	Miller	11	31	9	51
	Moniteau	23	6	7	36
	Morgan	46	1	14	61
	Osage	14	1	6	21
	Phelps	69	27	18	114
	Pulaski	53	-	11	64
	Washington	65	5	14	84
	REGION TOTAL	738	154	196	1,088
	Cass	61	29	13	103
	Clay	118	38	33	189
	Jackson	736	311	382	1,429
	Platte	42	1	6	49
	Ray	15	16	3	34
	REGION TOTAL	972	395	437	1,804
Region 8	Franklin	88	25	19	132
	Jefferson	124	51	53	228
	St. Charles	83	24	40	147
	St. Louis County	630	412	362	1,404
	REGION TOTAL	925	512	474	1,911
Region 9	St. Louis City	676	513	412	1,601
	REGION TOTAL	676	513	412	1,601
Region 10	Barton	8	12	-	20
	Jasper	92	82	39	213
	McDonald	4	9	3	16
	Newton	20	14	25	59
	REGION TOTAL	124	117	67	308
	STATE TOTAL	5,919	2,298	2,402	10,619

**Appendix G. Initial Reports of Institutional Abuse, Neglect and Regulation Violations
by County and Service Region
Fiscal Year 1996**

		Abuse, Neglect	Regulation Violations	Total
Region 1	Barry	6	33	39
	Barton	-	18	18
	Cedar	6	23	29
	Christian	11	43	54
	Dade	1	6	7
	Dallas	1	4	5
	Douglas	5	11	16
	Greene	42	270	312
	Henry	1	19	20
	Hickory	-	7	7
	Howell	8	65	73
	Jasper	34	172	206
	Laclede	1	48	49
	Lawrence	3	31	34
	McDonald	2	27	29
	Newton	6	71	77
	Ozark	-	4	4
	Polk	6	26	32
	St. Clair	-	6	6
	Stone	4	18	22
	Taney	6	43	49
	Texas	3	4	7
	Vernon	2	36	38
	Webster	1	17	18
	Wright	4	31	35
	REGION TOTAL	153	1,033	1,186
Region 2	Bollinger	2	3	5
	Butler	6	46	52
	Cape Girardeau	5	51	56
	Carter	1	7	8
	Dunklin	2	27	29
	Iron	1	14	15
	Madison	2	12	14
	Mississippi	1	12	13
	New Madrid	2	23	25
	Oregon	3	10	13
	Pemiscot	2	5	7
	Perry	3	15	18
	Reynolds	1	6	7
	Ripley	1	9	10
	St. Francois	7	57	64
	Ste. Genevieve	-	9	9
	Scott	5	29	34
	Shannon	1	4	5
	Stoddard	5	46	51
	Wayne	3	12	15
	REGION TOTAL	53	397	450
Region 3	Bates	4	28	32
	Cass	15	87	102
	Clay	19	186	205
	Jackson	166	1,020	1,186
	Johnson	14	45	59
	Lafayette	3	35	38
	REGION TOTAL	221	1,401	1,622
Region 4	Andrew	5	22	27
	Atchison	1	8	9
	Buchanan	11	66	77
	Caldwell	4	11	15
	Carroll	-	7	7
	Clinton	5	15	20
	Daviess	-	11	11
	De Kalb	3	17	20
	Gentry	-	5	5
	Grundy	4	16	20

**Appendix G. Initial Reports of Institutional Abuse, Neglect and Regulation Violations
by County and Service Region
Fiscal Year 1996**

		Abuse, Neglect	Regulation Violations	Total
Region 5	Harrison	1	4	5
	Holt	-	2	2
	Livingston	-	10	10
	Mercer	2	4	6
	Nodaway	-	8	8
	Platte	10	51	61
	Ray	-	8	8
	Worth	-	1	1
	REGION TOTAL	46	266	312
	Adair	2	14	16
	Chariton	-	9	9
	Clark	-	3	3
	Howard	2	24	26
	Knox	1	6	7
	Lewis	3	16	19
	Linn	1	10	11
	Macon	2	7	9
	Marion	7	64	71
	Monroe	-	10	10
	Pike	5	23	28
Region 6	Putnam	-	1	1
	Ralls	-	1	1
	Randolph	3	41	44
	Saline	2	28	30
	Schuyler	1	6	7
	Scotland	3	4	7
	Shelby	-	6	6
	Sullivan	2	26	28
	REGION TOTAL	34	299	333
	Audrain	4	43	47
	Benton	2	28	30
	Boone	19	122	141
	Callaway	8	48	56
	Camden	-	10	10
	Cole	18	72	90
	Cooper	3	31	34
	Crawford	1	28	29
	Dent	-	17	17
	Gasconade	-	12	12
	Maries	1	13	14
Region 7	Miller	2	25	27
	Moniteau	-	12	12
	Montgomery	1	26	27
	Morgan	2	18	20
	Osage	3	36	39
	Pettis	12	39	51
	Phelps	6	38	44
	Pulaski	4	34	38
	REGION TOTAL	86	652	738
	Franklin	8	56	64
	Jefferson	23	219	242
	Lincoln	11	56	67
	St. Charles	12	90	102
	St. Louis City	68	416	484
	St. Louis County	170	1,035	1,205
	Warren	1	12	13
	Washington	-	24	24
	REGION TOTAL	293	1,908	2,201
	STATE TOTAL	886	5,956	6,842

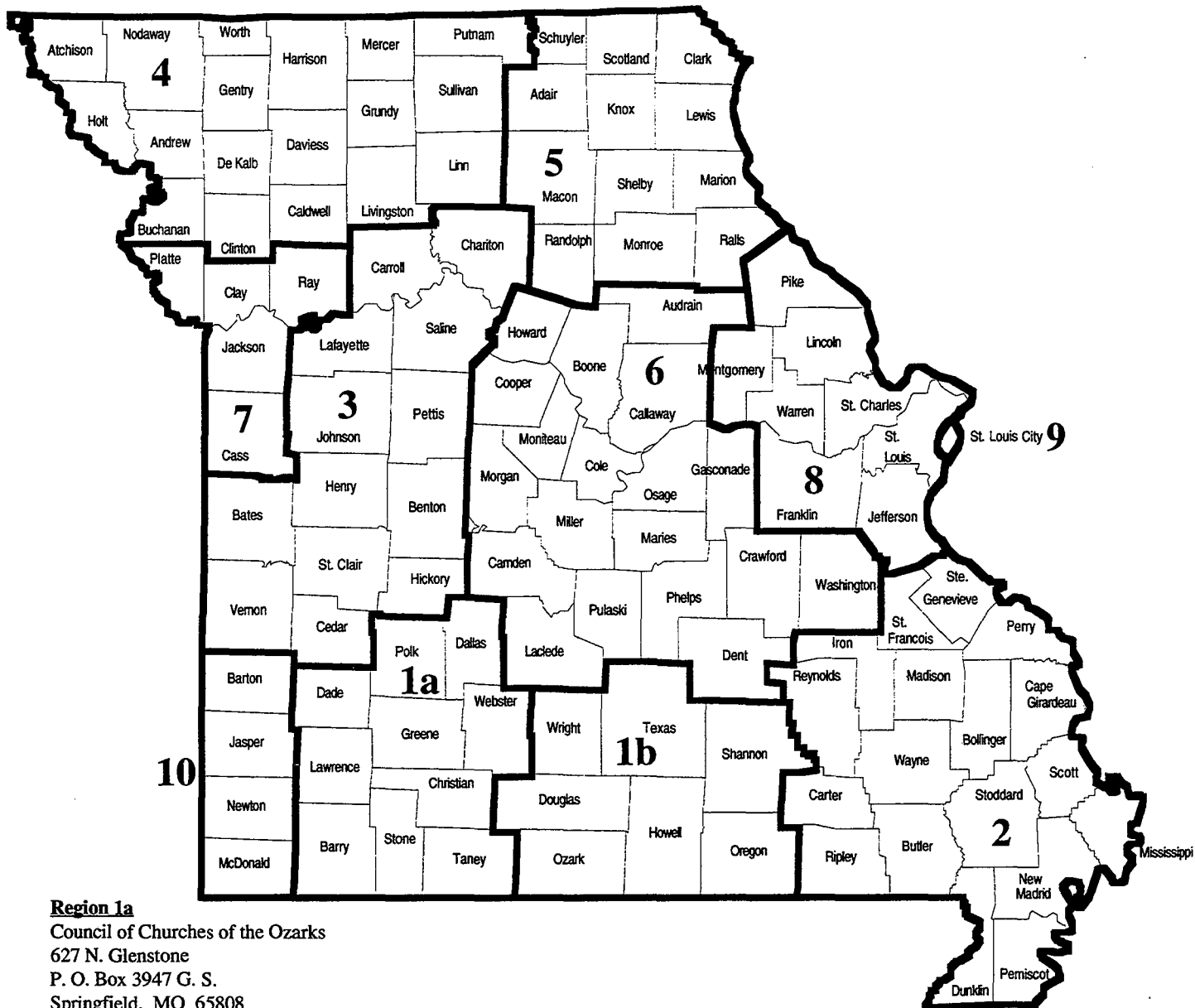
**Appendix H. Status of Institutional Investigative Findings of Abuse, Neglect and
Regulation Violations by County and Service Region
Fiscal Year 1996**

		Valid	Invalid, Not in Violation	Unable to Verify	Total
Region 1	Barry	17	15	6	38
	Barton	19	8	6	33
	Cedar	12	6	5	23
	Christian	16	31	10	57
	Dade	1	2	1	4
	Dallas	4	3	3	10
	Douglas	9	2	6	17
	Greene	129	101	97	327
	Henry	21	19	6	46
	Hickory	4	6	3	13
	Howell	44	26	14	84
	Jasper	102	54	55	211
	Laclede	23	26	12	61
	Lawrence	19	12	5	36
	McDonald	2	8	5	15
	Newton	47	16	16	79
	Ozark	1	1	3	5
	Polk	28	8	7	43
	St. Clair	1	3	-	4
	Stone	6	11	8	25
	Taney	30	9	18	57
	Texas	5	3	4	12
	Vernon	20	5	6	31
	Webster	2	2	5	9
	Wright	12	12	16	40
	REGION TOTAL	574	389	317	1,280
Region 2	Bollinger	2	4	-	6
	Butler	9	42	1	52
	Cape Girardeau	13	48	1	62
	Carter	-	6	-	6
	Dunklin	2	23	-	25
	Iron	2	14	1	17
	Madison	4	11	-	15
	Mississippi	-	12	1	13
	New Madrid	3	18	1	22
	Oregon	3	7	-	10
	Pemiscot	2	5	1	8
	Perry	2	11	-	13
	Reynolds	1	7	-	8
	Ripley	1	10	-	11
	St. Francois	7	53	4	64
	Ste. Genevieve	4	7	1	12
	Scott	5	28	-	33
	Shannon	-	5	-	5
	Stoddard	3	40	4	47
	Wayne	1	16	-	17
	REGION TOTAL	64	367	15	446
Region 3	Bates	9	10	4	23
	Cass	18	57	19	94
	Clay	112	139	39	290
	Jackson	277	684	283	1,244
	Johnson	22	25	10	57
	Lafayette	11	37	2	50
	REGION TOTAL	449	952	357	1,758
Region 4	Andrew	2	14	10	26
	Atchison	1	7	2	10
	Buchanan	8	49	20	77
	Caldwell	4	8	-	12
	Carroll	1	4	1	6
	Clinton	2	10	8	20
	Daviess	6	4	-	10
	De Kalb	6	14	-	20
	Gentry	1	4	-	5
	Grundy	3	14	3	20

**Appendix H. Status of Institutional Investigative Findings of Abuse, Neglect and
Regulation Violations by County and Service Region
Fiscal Year 1996**

		Valid	Invalid, Not in Violation	Unable to Verify	Total
Region 5	Harrison	-	5	1	6
	Holt	-	2	-	2
	Livingston	1	10	2	13
	Mercer	1	3	1	5
	Nodaway	-	8	-	8
	Platte	10	51	8	69
	Ray	1	5	3	9
	Worth	-	1	-	1
	REGION TOTAL	47	213	59	319
	Adair	5	15	-	20
	Chariton	1	7	-	8
	Clark	1	1	-	2
	Howard	9	14	3	26
	Knox	2	6	-	8
	Lewis	10	14	-	24
	Linn	2	9	2	13
	Macon	6	7	-	13
	Marion	20	43	11	74
	Monroe	2	7	1	10
	Pike	6	17	3	26
Region 6	Putnam	1	2	-	3
	Ralls	-	3	-	3
	Randolph	12	26	3	41
	Saline	11	16	1	28
	Schuyler	-	5	-	5
	Scotland	1	5	1	7
	Shelby	-	5	-	5
	Sullivan	2	22	1	25
	REGION TOTAL	91	224	26	341
	Audrain	10	26	7	43
	Benton	12	17	4	33
	Boone	32	71	29	132
	Callaway	26	28	3	57
	Camden	2	8	1	11
	Cole	30	44	16	90
	Cooper	16	10	8	34
	Crawford	7	17	2	26
	Dent	2	18	-	20
	Gasconade	2	7	3	12
	Maries	9	7	2	18
Region 7	Miller	6	18	5	29
	Moniteau	2	8	3	13
	Montgomery	6	16	2	24
	Morgan	4	14	4	22
	Osage	17	15	7	39
	Pettis	12	33	4	49
	Phelps	13	27	9	49
	Pulaski	7	31	3	41
	REGION TOTAL	215	415	112	742
	Franklin	11	21	28	60
	Jefferson	110	84	69	263
	Lincoln	29	25	11	65
	St. Charles	37	33	27	97
	St. Louis City	169	180	135	484
	St. Louis County	389	464	328	1,181
	Warren	4	2	2	8
	Washington	3	3	4	10
	REGION TOTAL	752	812	604	2,168
	STATE TOTAL	2,192	3,372	1,490	7,054

Appendix I. Missouri Division of Aging Ombudsman Program Service Regions



Region 1a

Council of Churches of the Ozarks
627 N. Glenstone
P. O. Box 3947 G. S.
Springfield, MO 65808
417/862-3598

Region 1b

Eastern SMOA Ombudsman Program
Rt. 1, Box 628
Ava, MO 65608
417/683-3790

Region 2

Southeast MO Area Agency on Aging
1219 N. Kingshighway, Suite 100
Cape Girardeau, MO 63701
573/335-3331 or
800/392-8771

Region 3

District III Area Agency on Aging
106 W. Young Street
P. O. Box 1078
Warrensburg, MO 64093
816/747-3107

Region 4

Northwest MO Area Agency on Aging
P. O. Box 368
202 W. Main
Maysville, MO 64469
816/449-2013

Region 5

MTLS Ombudsman Program
P. O. Box 248
314 N. 11th Street
Canton, MO 63435
573/288-5643

Region 6

Central MO Area Agency on Aging
1121 Business Loop 70 East
Suite 2A
Columbia, MO 65201
573/443-5823

Region 7

Mid-America Regional Council
300 Rivergate Center
600 Broadway
Kansas City, MO 64105-1536
816/474-4240

Region 8/9

LTC Ombudsman Program
3028 N. Lindbergh
St. Ann, MO 63074-3244
314/298-9222

Region 10

Region X Area Agency on Aging
1710 E. 32nd St., Suite F
P. O. Box 3990
Joplin, MO 64803
417/781-7562

Appendix J. Missouri Long-Term Care Ombudsman Program
Fiscal Year 1996

The Missouri Long-Term Care Ombudsman Program assists residents by empowering them with knowledge and advocating on their behalf -- both individually and as a group -- to ensure that their rights are protected. Services of a Volunteer Ombudsman may be accessed by calling: 1 (800) 309-3282. In fiscal year 1996, Ombudsmen handled 6,992 complaints that dealt with resident rights and care, quality of life and facility administration.

Missouri Long-Term Care Ombudsman Program Fiscal Year 1996 Nursing Home Complaints		
Type of Complaint	Number of Complaints	Percent
<u>Resident Rights</u>		
Abuse, Gross Neglect, Exploitation	188	2.7
Access to Information	144	2.1
Admission, Transfer, Discharge, Eviction	188	2.7
Autonomy, Choice, Exercise of Rights, Privacy	700	10.0
Financial, Property (not financial exploitation)	589	8.4
<u>Resident Care</u>		
Care Issues (call lights, personal hygiene, etc.)	1,835	26.2
Rehabilitation or Maintenance Function	397	5.7
Restraints, Chemical and Physical	52	0.7
<u>Quality of Life</u>		
Activities and Social Services	429	6.1
Dietary	1,057	15.1
Environment (air temperature, cleanliness, etc.)	809	11.6
<u>Administration</u>		
Policies, Procedures, Attitude, Resources	51	0.7
Staffing	331	4.7
Certification/Licensing Agency	12	0.2
State Medicaid Agency	17	0.2
System/Other (family conflict, Medicare, etc.)	193	2.8
Total	6,992	100.0